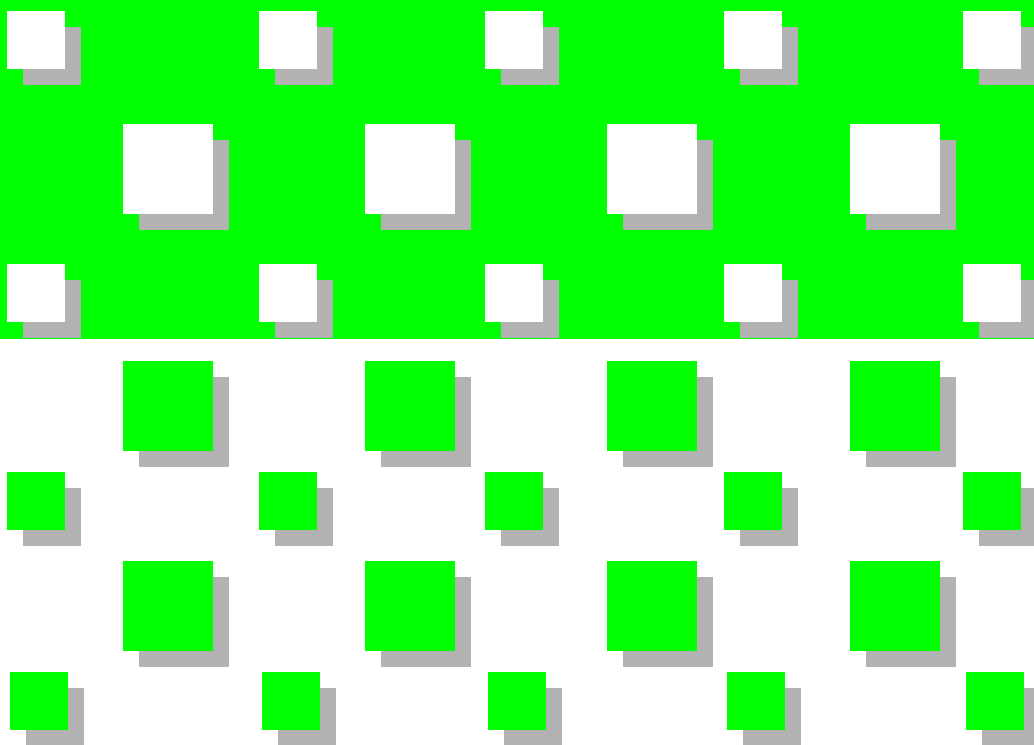


# CLASSIFICATION MANUAL

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**Iowa Department of Personnel**

*Revised April 2001*

# CLASSIFICATION MANUAL

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# CHAPTER 1

## Background and Purpose

This manual is intended to serve as a reference and a “how to do it book” for classification practitioners. A great deal of the information contained in this manual has been adapted from material supplied from classification units of the states of Illinois, Kansas, Minnesota, Nebraska, Washington and Wisconsin, and from the classic work on the subject Position Classification In The Public Service written by the committee chaired by Ismar Baruch in 1941 for the Civil Service Assembly of the United States and Canada. Additional resource material came from earlier manuals developed by the Iowa Merit Employment Department.

Effective Date: April 2001

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# CHAPTER 2

## Requirements and Time Limits

A classification review may be requested by the Appointing Authority (agency's designated management representative) or an incumbent employee and must be accompanied by a new Position Description Questionnaire (PDQ). Classification review decisions must be based on duties that are permanently assigned and performed over 50% of the time. They are subject to the following processing requirements and time limits.

- A written decision must be issued within 60 calendar days of the date the request is received, unless additional information is required;
- If additional information is required, it must be submitted within 30 calendar days of the date requested; the 60 calendar day response time may be suspended until the requested additional information is received.
- The decision is final unless the Appointing Authority or incumbent employee submits a written "request for reconsideration" stating the reasons and specific classifications requested within 30 calendar days of the date the decision was issued.
- If a "request for reconsideration" is submitted, a final written decision must be issued within 30 calendar days of the date the request was received
- If a decision is not issued within the established time limits, or the Appointing Authority or incumbent employee disagrees with the decision, they may request a classification appeal committee hearing.
- The request for an appeal hearing must be in writing, state the reasons for the request and the specific classification requested and received within 14 calendar days of the date the final decision was or should have been issued.
- The time limits may be extended when mutually agreed to in writing by the parties.
- When a decision becomes final, any subsequent request for a classification review of the same position must include a showing of a "substantive change" in duties from the PDQ upon which the previous decision was based. Absent the showing of a "substantial change," the PDQ should be returned. The decision may be appealed, but the Classification Appeal Committee will only rule on whether a substantive change has been demonstrated.

The Personnel Officer may also initiate a classification review. Reasons for doing so include:

- the duties listed on a PDQ do not fit the class to which the position is assigned or a major change in duties seems to have taken place;
- the duties appear to duplicate those performed by another position in the work unit;
- there is a change in organizational structure that may impact a position or group of positions;
- a classification study of a group of positions is being conducted.

*NOTE: For more information see IDOP personnel rules 581-3.4, 3.5, and 3.6*

# CHAPTER 3

## Reviewing PDQ & SAQ For Completeness

This chapter deals with reviewing the PDQ (Position Description Questionnaire) and the SAQ (Supervisory Analysis Questionnaire) for information quality and completion purposes.

### **Processing Forms**

Following are the major forms used in the classification review process. Blank copies of these forms can be found at the end of this chapter.

Position Description Questionnaire (PDQ) IDOP Form number CFN 552-0094-4, the primary document used to describe the duties and responsibilities assigned to an individual position.

Supervisory Analysis Questionnaire (SAQ) IDOP Form CFN 552-0193, provides detailed information on the status and condition of a position that has been designated as supervisory.

### **PDQ Review**

As noted, the PDQ is the primary informational document for describing the duties and responsibilities assigned to a position. Therefore, the accurate completion of the PDQ is critical to the classification review process. Review of the PDQ should at least include the following:

1. Verify if a classification review is being requested. (i.e., the “Position review request” box is marked). If the “No position review requested” box is marked, the PDQ is being submitted for update purposes only and should be scanned to insure the duties are generally compatible with the classification assigned to the position. No other action is required.
2. If the “Position review request” box is marked and it is not a new position, a copy of the previous PDQ should be attached. If not, request a copy of the previous PDQ from the employee or agency and advise the processing time limits are being suspended until returned.
3. Check to see if the “Yes” box in item 9 of the PDQ is marked. If it is, a completed SAQ should be attached. If not, request a SAQ and advise the processing time limits are being suspended until received.
4. Make sure the “Supervisor Review” section of the PDQ (items 11, 12, 13, 14 and 15) are completed. If not, return the PDQ for completion and advise the processing time limits are being suspended until completed and returned.
5. Check the employee signature section following item 10 of the PDQ. If the position is occupied, this section of the PDQ should be completed by the incumbent employee. If not, return the PDQ for completion and advise the processing time limits are being suspended until the completed PDQ is received.

6. The “Time/%-Work Performed” section is the most important part of the PDQ for classification decision making purposes. Satisfactory completion of this section includes the following:

- percentages of time broken out by duty;
- new duties identified with an “X;”
- references are made to the type of machinery used, processes involved and contacts made;
- specific duties are described not general responsibilities of the work unit.

If the PDQ is not satisfactorily completed in terms of any of the above, return it to the employee or agency with necessary instructions and advise that processing time limits are being suspended until the appropriate changes are made and the PDQ is returned.

***For more information concerning the PDQ review, see the PDQ Checklist that follows this chapter.***

### **SAQ Review**

The information contained in the SAQ is necessary and critical to making a decision concerning a position’s supervisory status, both for classification and collective bargaining exemption purposes. The review should at least include the following SAQ items:

1. *Persons the employee supervises* (Item 2) If there are less than 2 names listed, the position is quite likely non-supervisory and you may eliminate all supervisory classes as possibilities for classification.
2. *Supervisory percent* (Item 5) This will aid in determining if the position is supervisory or lead worker. Normally supervisors will be at least 20%.
3. *Hiring process* (Item 6) Supervisors should fit in a. or b.
4. *Performance Evaluations* (Item 7) Supervisors always sign as a first line supervisor and determine the evaluation rating.
5. *Disciplinary action* (Item 8) Supervisors should answer Yes. The rest of the information will assist in determining the type of supervisory responsibility.
6. *Grievance process* (Item 9) Supervisors should answer Yes twice.
7. *Change work* (Item 10) Supervisors should answer Yes.
8. *Call in off-duty employees* (Item 14) Supervisors should answer Yes.
9. *Approve/require overtime* (Item 15) Supervisors should answer Yes.
10. *Approve vacation/sick leave* (Item 16) Supervisors should answer Yes.
11. *Signatures* The employee's signature is required if the position is filled. If the supervisor and or appointing authority have not signed the form, the document should be returned to the agency.

***For more information concerning the SAQ review, see the SAQ Checklist that follows this chapter.***

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# PDQ CHECKLIST

**For Agency Use Only.** The “Duties have changed:” box indicates the position already exists, while the “New Position,” “Position review requested” and “No position review requested” are self-explanatory.

1. **Name of employee.** If there is an employee in the position, he or she should generally fill out the PDQ and will be able to later answer many of the questions you have about the position.
2. **Position Number and Class Title.** The eighteen-digit position number and class title should be included and can be used to locate the previous PDQ that most agencies keep.
3. **Department, Division, Bureau, Section and Work Address.** These boxes may give you a clue about the type of work unit, where the position fits in the organization and where the position is located.
4. **Hours of Work.** This will assist you in the event it is necessary to talk with the employee or supervisor.
5. **Full Time or Part Time.** Self-explanatory.
6. **New Tasks.** If “No” is marked, find out why the position is being reviewed. If “Yes” is marked, X's should appear in the TIME section to identify which duties are new.
7. **Name and job classification of immediate supervisor.** This identifies the supervisor in the event it is necessary to contact the person for additional information. It also assists in locating the unit on an organization chart.
8. **Description of Work.** The most important section on the PDQ. Specific information needed includes:
  - Percentages of time broken out by duty so you can see which are most important and/or require the most time.
  - X's for New Duties so you can tell specifically which duties are new and whether they are a minor or major portion of the total job.
  - Specific references to machinery used, processes involved, types of contacts the person makes, etc., so you can determine the type and level of work in each duty.
  - Specific duties mentioned rather than general responsibilities of the unit so you can tell the employee's duties from the rest of the work done by people in the work unit.
9. **Is Position Supervisory?** If marked “Yes,” you will need a completed Supervisory Analysis Questionnaire (SAQ) so you can determine whether it is a full supervisor according to collective bargaining provisions.
10. **Reasons for Requesting Review.** Comments here may clarify information or prompt more questions.

**Employee Signature.** Unless the position is vacant, the employee should sign the PDQ. Ideally, he/she will also fill out the PDQ. If the PDQ is not signed, return to the agency for a signature.

**Supervisory Review of PDQ.** This section must be fully completed. If not, return PDQ to the agency for completion of this section.

11. **Verification of Statements of the Employee.** If statements by the supervisor do not match those of the employee, follow up with the supervisor/employee to clarify those statements.
12. **Origin of Duties.** This section should help determine if other positions have been affected by the duty changes. It may be necessary to obtain PDQs from these positions to verify if the classifications of these position have been impacted. This should be done before proceeding with the classification of the requested position.
13. **Basic Purpose of Position.** This section gives an overview of the type o kind of work performed by the position. It can serve as an initial classification screen for the position.
14. **Essential functions.** This section provides an indication of the knowledge's and abilities are required for the job, which can be of assistance in classifying the position.
15. **Collective Bargaining Status.** This section gives the agency's intention concerning the position's coverage by a collective bargaining agreement. If agency management wants to exempt the position from collective bargaining coverage, a "Bargaining Exemption Questionnaire" form must be completed.

**Supervisor Signature and Comments.** The signature is always necessary. The PDQ should be returned if unsigned. Comments may clarify or correct statements made by the employee.

16. **Comments.** The comments may clarify or correct statements made by the employee and supervisor. If comments contradict the supervisor, you may want to ask this person some clarifying questions.

### **Appointing Authority Review**

The signature of the appointing authority or designee is always necessary. If the form has not been signed, it should be returned to the agency for a signature.

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# SAQ CHECKLIST

**Name through Work Location:** These should repeat information contained on PDQ.

1. **Names and titles of higher supervisors.** This will help identify the level of the position in the organization and the size of the organization. Also note the class titles of the supervisors as they may give you a better idea of the type of work performed by the employee.
2. **Persons the employee supervises.** If there are less than 2 names listed, the position is quite likely non-supervisory and you may eliminate all supervisory classes as possibilities for classification. Only permanent positions are used to determine supervisory states.
3. **Persons supervised by the employee's subordinates.** This also indicates the level of the position in the organization, and the amount of supervisory responsibility.
4. **Number of program areas supervised.** This could indicate complexity of the work.
5. **Supervisory percent.** This will aid in determining if the position is supervisory or lead worker. Normally supervisors will be at least 20%.
6. **Hiring process.** Supervisors should answer "Yes" and fit in "a" or "b".
7. **Performance Evaluations.** Supervisors always sign as a first line supervisor and determine the evaluation rating.
8. **Disciplinary action.** Supervisors should answer Yes. The rest of the information will assist in determining the type of supervisory responsibility.
9. **Grievance process.** Supervisors should answer Yes twice.
10. **Change work.** Supervisors should answer Yes.
11. **Higher level supervisor.** This will assist in determining the level of the position in the organization.
12. **Subordinates located in immediate work area.** This gives information that may impact the complexity and level of the position.
13. **Hours of shift(s).** This gives information on the scope and complexity of the job.
14. **Call in off-duty employees.** Supervisors should answer Yes.
15. **Approve/require overtime.** Supervisors should answer Yes.
16. **Approve vacation/sick leave.** Supervisors should answer Yes.

17. **Dollar amounts.** These may provide clues about the scope or level of responsibility and may apply to classification factors of some classes.

**Signatures.** The employee's signature is required if the position is filled. If the supervisor and or appointing authority have not signed the form, the document should be returned to the agency.

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# CHAPTER 4

## Verifying Accuracy of Work Performed

Before a PDQ can be used as a basis for classifying a position, there must be a good understanding of the work performed (duties) listed on the PDQ, the importance of those duties to the job as a whole and the degree of knowledge, thought or skill required to satisfactorily perform the duties. To reach this level of understanding, it may be necessary to verify the relative accuracy of the duties on the PDQ and make a determination whether additional clarifying information is needed. One way to do this is to examine the duties for words, phrases, patterns of description, etc. that suggest lack of clarity in the duty statements. Following are some common examples of situations that should call into question the accuracy of duties on a PDQ and may necessitate additional clarifying information:

1. Are general or vague verbs used without explanation or information which would make the meaning of the verbs clear? The degree/type of involvement may make a difference in classification. For example:

*Assists supervisor.* How (e.g., date stamping the incoming mail; giving work assignments to others; or taking complete responsibility for a particular program area)?

*Reviews reports.* What kinds of reports? What kind of review (e.g., proofs for spelling errors in a one page narrative report; checks to see that all boxes are filled in on a fill-in-the-blank data report; or checks for completed boxes and compares figures against the employee's own calculations)?

Other common verbs/terms that have several possible meanings:

Audits	Handles	I do
Conducts	Orders	Processes
Edits	Supervises	Assists
Checking	Responsible for	Prepares

2. Are general or vague nouns used without adjectives or other explanations that would make the meanings clear? For example:

*Applications.* What kinds of and how many applications are processed in the section? Does the employee process all the applications? All of the simple applications but none of the complicated applications? Some of each? How often does each kind come in?

3. Are abbreviations, acronyms or form numbers used without explanation of what they stand for? Full words or phrases may often give you insight into the type of work performed in the unit or by the employee (e.g., *RFD* - what does it stand for, Returned for Demolition or Rural Route?).
4. Can you tell where the job fits in the organization and within the smaller work units?

5. Are several duties grouped together in one huge percentage of time? If so, these may need to be broken out into percentages or hours/week so you can see which duties are most important to the job and which actually take the most time.
  6. If duties are new to a position, where did they come from? Are they new to the work unit? Have they been transferred from another position to the employee's position? If so, what effect has the transfer had on the position which no longer has the duties assigned to it?
  7. Are there conflicting statements in or discrepancies between the current/new PDQ (or SAQ) and the previous PDQ (or SAQ) or other PDQs of other positions in the work unit (e.g., two jobs appear to perform exactly the same duty; or duties appear in the previous PDQ which are not in the new PDQ)?
  8. Are the duties the same as the work examples listed on a class description? If so, the PDQ should be returned and requested to be redone with actual work tasks.
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# CHAPTER 5

## Additional Information Required

To make a good classification decision, one must have sufficient knowledge of a position's duties to answer most of the following questions.

- In what form does the work come to and leave the employee?
- What has been done to the work previously?
- What does the employee do with the work?
- In what form does the work leave the employee?
- How does the employee do the work?
- Why does the employee do the work?

If there are questions about duties, the position's supervisor, the incumbent employee or a higher level supervisor should be contacted for clarification. Clarifying questions should be directed to each as follows:

- *Supervisor* – questions about:
  - organizational structure;
  - how the position fits in relation to other positions in the unit;
  - verification of employee statements;
  - details about a vacant position or proposed new position;
  - details about a position (when the employee is new to the position).
- *Employee* – questions about:
  - details about the job (when dealing with an experienced employee);
  - an interpretation of what the employee wrote on the PDQ.
- *Higher level supervisor* – questions about:
  - conflicting information between the supervisor and employee;
  - a broader picture of the organizational structure.

### The additional information may be gathered in the following ways:

- *Memo or Letter* – may be used for a few easily understood/answered questions, or documentation that may be needed for future reference and there is time to wait for a response.
- *Telephone Call* – may be used for a few easily understood/answered questions and there is no need to observe the employee's work activities, products or work site.
- *In Person Interview (Position Audit)* used when:
  - there are many complex questions;
  - a face-to-face interview would be productive;
  - the job, work product or equipment used must be observed to be fully understood;
  - several positions in the same unit are being reviewed.

# CHAPTER 6

## Classification Decision Making

Job classification systems typically organize and label work into several related categories or groupings that run from the most general to the most specific. The following groupings/categories are pretty much standard in the field including our own classification system:

*Job Family* – large grouping that includes multiple class series and numerous job classes related by occupation (e.g., accounting, custodial, purchasing, etc.), function (e.g., communications, education, retirement systems, etc.) or program area (e.g., Agriculture, Human Services, Natural Resources, etc.).

*Class series* – a small group of from 3-6 distinct job classes with the same basic job title, competencies required and graduated qualifications that provide for movement/promotion within the series based experience and performance.

*Job Class* – a discreet job class that differs from others in the series and system based upon duties, responsibilities, work experience and qualifications.

Classification decision making is essentially a “process of elimination,” where one attempts to screen out potential job classes by matching the work performed in a particular job with job class groupings of increasing specificity. IDOP’s decision making process typically has two steps. At the first step (a determination of the kind of work), an attempt is made to match the job being reviewed with a particular class series, while at the second step (a determination of the level of work) an attempt is made to match the job with a specific class in that series selected. In addition to the PDQ, and SAQ for supervisory positions, the following items are used in making these decisions:

*Job Family Index* – a list of descriptive job family groupings organized by occupational, functional and program area. A copy of the index can be found at the end of this chapter and is available electronically on IDOP’s web site at [www.state.ia.us/IDOP/](http://www.state.ia.us/IDOP/) under the “Class and Pay” heading.

*Class Descriptions* – a standardized description of each job class including a title, definition, work examples, competencies required, education and experience requirement and any special requirements. Class descriptions have only general applicability and are to be used only for job matching purposes, except where no classification guideline exists. They are available electronically on IDOP’s web site at [www.state.ia.us/IDOP/](http://www.state.ia.us/IDOP/) under the “Class and Pay” heading.

*Classification Guidelines* – provides a listing of covered classes, a description of the work performed by the all class in the series and a description of how each class in the series differs from the next lower and/or higher class in the series. The series description typically defines the “kind or type of work” performed, while the class description defines the “level of work” performed by each class in the series. Some guidelines may have separate series and class guidelines and/or describe the inclusion of specific agency positions. Guidelines are currently available on CD ROM.

*Classification Plan* – Since class codes in the plan have historically been assigned based on the following numeric subject matter heading, they can also be used to supplement the Job Family Index for screening job classes. The Classification Plan is published annually and available electronically on IDOP's web site at [www.state.ia.us/IDOP/](http://www.state.ia.us/IDOP/) under the “Class and Pay” heading.

000XX	Clerical	060XX	Crime Investigation
001XX	Information Technology	064XX	Corrections
002XX	Purchasing and Stores	070XX	Custodial and Security
0027X	Cashiering	072XX	Food Services
0029X	Accounting and Auditing	080XX	General Maintenance/Trades
0044X	Insur/Utilities/Commerce Regs	085XX	Reproduction/Printing
0063X	Legal	091XX	Division/Department Directors
0066X	Labor	10XXX	Military
0069X	General Administration	101XX	Capitol Security/Public Safety
0072X	Budget Administration	14XXX	Administrative Agriculture
0073X	Management Analysis	145XX	State Auditors
0074X	Research and Statistics	147XX	Public TV
0075X	Public Information	148XX	Fire Inspection
0076X	Personnel and Training	149XX	Administrative Support
0078X	Public Service Executives	1505X	Racing & Gaming
008XX	Workforce Development	151XX	Physicians
009XX	Lottery	152XX	Human Services Administrative
010XX	Education, Library & Museum	153XX	State Treasurer Administrative
020XX	Medical and Public Health	154XX	Transportation Administrative
030XX	Social and Human Services	160XX	State Patrol
040XX	Planning	20XXX	Miscellaneous Planning
041XX	Land Acquisition & Right of Way	3XXXX	Education/Voc Rehabilitation
042XX	Highway Engineering and Related	45XXX	Attorney General
044XX	Geology, Chemistry & Biology	5XXXX	Treated differently for overtime purposes
045XX	Environmental	6XXXX	EEs covered by conserv officer retire syst
046XX	Aeronautics	7XXXX	EEs covered by protection occup retire syst
047XX	Communications	8XXXX	EEs covered by protection occup retire syst
050XX	Agriculture	9XXXX	EEs exempt from collective bargaining
052XX	Conservation		

**NOTE:** By examining the “letter” after the three-digit number in the UNIT column following the class code in the Classification Plan, one can also determine the supervisory status of an individual job class. If it is the letter “S,” then the class is supervisory.

### Kind of Work Determinations

1. If the PDQ is for an existing position, compare it to the previous PDQ for the position. If there appears to be “no substantial change in duties” (i.e., the addition of the new does not result in 50% or more of all duties being classified higher compensated class) see the “Processing Classification Decisions” section of Chapter 8 of this manual.
2. Examine the work performed (duties) section of the PDQ being reviewed and make a list of key words, phrases, machines, equipment, etc. that describe the position from an occupational, functional or program standpoint. Also include the amount/percent of work time allocated to each key word activity. (For example, examination of a PDQ indicates the position incumbent spends 90% of his or her time performing professional library duties and overseeing the Department of Economic Development’s statewide library.)

3. Go to the IDOP web site at [www.state.ia.us/IDOP/](http://www.state.ia.us/IDOP/), select the “Class and Pay” tab and it will bring up an alphabetical listing of the current job families. Compare the list of job families with the “key words” from the PDQ and choose one or more that appear to match. (For example, looking at the list of job families, one finds a job family labeled “Library and Museum Management” and no other titles that appear to relate to either professional library or the library oversight work.)
4. Click on the job family heading and examine the list of class titles under this job family heading. Choose one or more classes that appear to be the most descriptive of your list of “key words” (For example, under the “Library and Museum Management” job family title one finds the classes Librarian 1, Librarian 2, Library Consultant, Library Supervisor and Library Program Director. These classes seem to be the most descriptive when compared to the list of “key words” from the PDQ, i.e., performs professional library duties and oversees the Department of Economic Development’s statewide library.)
5. Click on any of the class titles selected and it will bring up its class description. Compare your list of key words to the “Definition” and “Work Examples” sections of each class description selected and screen out those that would appear not to apply. (For example, examination of the class descriptions for the five class titles chosen for our library position, indicates the Library Supervisor and Library Program Director are “supervisory.” Since the PDQ does not indicate the library position is supervisory, the Library Supervisor and Library Program Director classes can be excluded from further consideration for the position being reviewed.)
6. Go to the list of classification guidelines on the CD-ROM (for IDOP staff, the “P” drive under the “Class Guidelines Final” heading) and choose one or more that appear to match the class titles selected. Click on the title of each guideline selected and read the “class or series” description of classes included. Compare these descriptions with the PDQ and screen out those that do not appear to match. (For example, a review of the list of guideline titles yields only one “Library” that would appear to match the remaining classes selected above. Reading the “class or series” portion of the guideline, one discovers it includes positions that “perform professional library work,” which is descriptive of the classes identified above. In fact, Librarian 1 and 2 and Library Consultant classes are specifically listed by title as being covered by the guideline.)
7. Comparing the job competencies (knowledge, abilities, skills and personal characteristics) and qualifications (education, experience and special requirements) required by a position to those described in a class description can be an effective way of validating a job match. For the job match to be valid, there should be a direct correlation between the “competencies required” and “education and experience requirements” on the class descriptions and “essential functions” section (item 14) on the PDQ. (For example, if the “competencies required” and “education and experience requirements” for the Librarian 1, 2 class descriptions indicate knowledge of card cataloging systems and a background in library science, the “essential functions” section of the PDQ should reflect a similar need.

**NOTE:**

*Classification guidelines are not usually developed when there are insufficient like job classes to constitute a series. In these instances, the “definition” and “work examples” section of the relevant Class Descriptions should be used for decision making purposes.*



### Level of Work Determinations

Read the class/level description of all classes in the series guideline selected for the PDQ being reviewed. Compare each class/level description with the “work performed” section of the PDQ and screen out any that do not seem to apply. Then match the PDQ to the remaining class that most closely fits the work performed. (For example, review of the individual class description of the “Library” classification guideline for the three classes – Librarian 1, Librarian 2 and Library Consultant – remaining from our kind of work screening, indicates the Library Consultant provides consulting services to other libraries. Since library consulting work is not listed anywhere in the work performed section of the PDQ, this class can be eliminated. Reading class guideline descriptions for Librarian 1 and Librarian 2, indicates that both perform professional library work. However, only the Librarian 2 includes a responsibility for overseeing agency library operations, which was also described in the PDQ being reviewed. Therefore, Librarian 2 is selected as the correct job match for the position.)

### **Position Comparison**

Position comparison is a methodology sometimes used in classification decision making and may be defined as follows:

*Position comparison* – means the matching of an already existing classified position to a position that is requested to be classified or re-classified.

Use of this methodology should be confined to validating classification decisions and should only be considered when: 1) the original classification decision was based upon existing class descriptions/guidelines; and 2) there is a strong benchmark position (i.e., a classified position whose duties and responsibilities are generally recognized as the real or actual described standard for a job class) available. If position comparison is used rather than class descriptions/guidelines in classification decision making, it can unintentionally expand class concepts.

### Rule of Mixed Positions

This classification concept recognizes that the duties and responsibilities of some positions are a mix of multiple “kinds” and “levels of work.” Therefore, the rule provides that a position’s classification should be based on those duties and responsibilities which occupy a majority (50%) of a position’s work time and, when there is an equal mix of duties and responsibilities, the highest compensated series or class should prevail.

### Lead work and Supervisory Definitions

The following definitions are found in Chapter 1 of the IDOP Administrative Rules, and are to be used exclusively when applying these concepts to class and level decisions:

“Lead work” means a responsibility assigned to an employee by management to direct (instruct, answer questions, distribute and balance work, accept, modify or reject completed work, maintain attendance records, report infractions and provide input on staffing decisions) the work of two or more employees (federal, state, county, municipal and private employment organization, volunteers, inmates or residents).

“Supervision” means a responsibility assigned to an employee by management to direct the work of two or more employees and hire, evaluate, reward, promote, transfer, lay off, recall, respond to grievances and discipline those employees.

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# CHAPTER 7

## In-Person Position Audit

### *Conducting an In-person Position Audit*

Review previous PDQs and SAQs to gain insight on whether major changes have occurred and/or if “new” duties are really new duties. Also, review any attached documentation such as audit reports and letters/memos to understand the history behind the position and any subsequent classification changes. Pay particular attention to dates so the correct chronology of changes can be established. It may be helpful to write some specific questions you want to ask during the audit interviews and/or construct a brief outline of the information that needs to be collected.

Upon arriving at the work site, make sure your presence is known to management and ask to see the supervisor of the position being reviewed. Before beginning any in-person interviews, consider the following list of reminders:

1. Have employee and supervisor define terms and give examples.
2. Ask questions if there is something you don't understand.
3. Ask to see examples of work.
4. Don't ask leading questions.
5. Control the interview, by keeping the employee/supervisor on subject.
6. Do not get involved in rhetorical or argumentative debates with the employee/supervisor.
7. Set the tone for the interview by speaking in a friendly and informal manner.
8. Do not ask questions that put the employee/supervisor on the defensive.
9. Eliminate preconceived notions about the position, employee or supervisor.

### *The supervisory interview should cover:*

1. Introduction and purpose of the audit.
2. Basic purpose of the position under review.
3. Necessary competencies for the position and where/how they are obtained.
4. Minimum experience and education requirements for the position and the applicant background the supervisor would be looking for if the position became vacant.
5. If changes in the position have occurred, why? How the position was affected? Were any other positions affected? Additional comments.
6. Ask the supervisor if there is anything else he or she would like to add about the position. Then ask them to introduce you to the employee.

### *The employee interview should cover:*

1. Introduction and purpose of audit.
2. Briefing on the classification review process.
3. Basic purpose of the position.
4. Discuss each work task/duty performed by the employee.
5. In what form is the work received.

6. From whom the work is received?
7. What does the employee do with or to the work?
8. Where does the work go after the employee has completed his/her part of it.
9. How much time does it take to perform the work?
10. What competencies are needed for the work?

*Before concluding the in person interviews, consider the following:*

1. Clarify the relationship between the position and any possible classifications you have identified by asking questions related to these classification guidelines and descriptions.
2. Ask to see and obtain examples of work performed, forms, manuals, etc., if pertinent.
3. Ask for any additional comments from the employee, explain what you will now do with the information collected and give the employee an idea of the time element involved.
4. Do not give any preliminary thoughts or conclusions about possible classifications for the position at this point. If asked, indicate additional time is needed to study the information you have gathered today.
5. Exchange telephone numbers with the employee as he or she may think of additional information or you may want to call the employee to further clarify something.
6. Follow up with supervisor on any inconsistencies that appear between the employee's account and that from the supervisor.

### *Position Audit Report*

Once a decision has been reached concerning the correct class in which a position is to be classified, the reasoning should be recorded in an “audit” report or memo in the format described below. A copy of this report is sent to the employee and the agency management representative. This report is extremely important because it may serve as a future reference for other decisions and be used as an exhibit in any subsequent classification appeals.

The audit report should be as brief, concise and to-the-point as possible. Audit reports are usually three to five pages long. Everyone will develop their own style, but all reports need to include the following information.

#### *Demographic Data:*

The 18 digit position number  
 Date the request was received  
 Date of the audit  
 Date of the audit report  
 Name of the incumbent of the position  
 The location of the position-department, field location (e.g., area, district, county office, institution, etc.)  
 Personnel Officer's name  
 Current classification title of the position

*Background:* This section is used to cover such things as relevant history about the position, organizational structure, and relevant changes and any other information that is deemed important to the review.

*Summary of Major Duties:* Briefly note or describe the duties and responsibilities which were major factors in your decision. Unless the PDQ and correspondence are unclear, you do not have to go into great detail. In many cases it may be sufficient just to list the basic purpose of the job.

*Classes/Series Examined:* Mention related classes, if applicable, and indicate why they were eliminated. Cite duties and responsibilities of the position in comparison to the factors that apply to those classes you have eliminated.

*General Conclusions:* Briefly describe how the duties and responsibilities are similar to the class you selected. Note what led you to select this class instead of others in the series. Use classification factors from the appropriate guideline to support your reasoning. Try to find and compare the duties and responsibilities of a similar position that is a good benchmark in the proposed class.

*Classification Decision:* This should clearly and briefly give the specific recommendation as to correct class. The recommendation should logically follow the analysis provided in the above sections of the report.

---

## **Audit Report Format**

Position Number:

Request Received:

Audit Date:

Report Date:

Position Incumbent:

Location:

Personnel Officer:

Current Classification:

Background:

Summary of Major Duties:

Classes/Series Examined:

General Conclusions:

Classification Decision:



## **SAMPLE AUDIT REPORT**

Position Number: 256-A20-4201-00786-001

Request Received: January 21, 1999

Audit Date: March 28, 1999

Report Date: April 28, 1999

Position Incumbent: John Doe

Department: Department of XXX  
Administration  
Capitol Complex

Personnel Officer:

Current Classification:

Public Service Executive 4

Background:

The request to review this position was received at the Department of Personnel on January 21, 1999. The review was delayed while waiting for requested information needed to complete the review. All requested information was obtained on February 26, 1999, with a follow-up meeting with Mr. Doe on March 29, 1999.

The Department of XXX consists of four Divisions: Community Services, Institutions, Industries, and Administration.

The Community Services Division includes oversight of Iowa's statewide Community Based programs, coordination of work procurement and release from institutions, inspections, interstate compact, and transportation of residents.

The Institutions Division includes general oversight and administration of eight facilities, the classification system, inspections and accreditation, policy and rules, dietary, and budgets as they relate to facilities.

The Industries Division includes the marketing, manufacture, sales and distribution of a large variety of furniture and other products, and administration of farms.

The Administration Division is responsible for overseeing administrative details on a department-wide basis for data processing, business management, plant operations, budgeting and accounting, and purchasing.

Each facility has a business manager who reports to a Superintendent. The business managers are classified at either Public Service Executive 2 or 3 depending upon the size of the facility and the scope and level of

the duties assigned. Overall, they administer, typically through subordinate supervisors, the day-to-day operations involving fiscal management, purchasing, inventory, food service, building maintenance, laundry, canteen, and personnel document processing.

The reviewed position reports directly to John Smith, Director of the Department of XXX and functions as the head of the Administration Division in the central office. Mr. Doe, located in the central office, directly supervises one Budget Analyst 4, two Public Service Executive 2's, a Word Processor 2, a Statistical Research Analyst 2, and a Secretary 2. There are a total of nineteen staff assigned to the Administration Division including Mr. Doe.

The Division Administrators for Community Services and Institutions are classified as Deputy Program Administrators, and the Division Administrator for Industries and the reviewed position are classified as Public Service Executive 4's.

#### Summary of Major Duties:

Approximately forty percent of the incumbent's time is devoted to coordinating the department's budget development and developing policy for the department's accounting finance system. More specifically, Mr. Doe provides instructions and budget forms to each business manager and Community Based district and discusses with them the budget priorities they wish to have included in their budget. The overall final department budget priorities are established in the central office and presented to the Department of Management, Governor, and Legislature by Mr. Doe on behalf of the Director. While the Community Based budget is not presented to the above agencies by this position, it plays a role in coordinating the establishment of the budget. This position, subject to review by the department director, has the authority to change budget priority packages submitted by institutions and other divisions when finalizing the department's overall budget.

Monthly expenditure reports are prepared in the central office for the institutions and the Community Based districts.

Expenditure reports for Industries are prepared in that Division. Decisions involving the reallocation of funds between institutions and between CB districts if necessary to prevent overspending are made in the central office by Mr. Doe with the approval of Mr. Smith.

Mr. Doe serves as the department's primary contact with the Department of Management on fiscal management and planning matters, with the Legislature for appropriations issues, with the Legislative Fiscal Bureau, and with General Services for capital construction projects and data processing coordination.

Approximately twenty percent of the time is devoted to coordinating the department's data processing needs, although all data processing positions actually report directly to a facility. At the present time, Mr. Doe is coordinating with the State's Data Processing Division, institutions, and CB Districts, the development of a data processing system to integrate the collection and dissemination of data between institutions and CB Districts.

The remaining time is devoted to participating in the development of department policies and goals, and serving as contact person with IDOP involving general departmental personnel issues. The Training Center provides training for new staff. The center also offers training for nurses and off site training at institutions covering topics such as safety, fire, and crowd control.



Areas involving dietary, power plant operation, purchasing, and facilities maintenance are handled primarily by the business managers at each institution. Mr. Doe's involvement would include broader issues affecting all institutions.

Overall, this position serves as the central coordinator for administrative areas for a department having approximately 2,450 employees and a 115 million dollar budget.

Classes/Series Examined:

The Department of XXX requested review of this position for reclassification to Deputy Program Administrator or Public Service Executive 5.

For purposes of determining the appropriate classification for this position, the Public Executive 4 and 5, and Deputy Program Administrator classes will be examined.

The Deputy Program Administrator class includes positions having primary responsibility for planning, organizing, directing, and evaluating statewide institutional or community rehabilitation and treatment service programs. This class was developed for positions having as primary emphasis the administration of treatment, security, and rehabilitation programs, with secondary emphasis on administrative areas such as budgeting, accounting, purchasing, and personnel required to administer those program areas.

For the most part, other positions in state government having primary responsibility for supervision of administrative functions for a department, are classified in the Public Service Executive class series rather than program specific classes requiring an in-depth knowledge of programs administered by the department. The Public Service Executive class series includes positions having primary responsibility for either administering programs where technical program expertise is provided by subordinate program managers, or the primary responsibility involves administration of a department's administrative or business functions.

Mr. Doe's primary emphasis centers around the coordination and supervision of administrative areas for the department rather than involvement in technical programs. For these reasons, his position should remain classified in the Public Service Executive class series.

Positions classified at the fourth level of the PSE class series generally supervise two or more program managers allocated to classes at pay grade 32 or above, and participate at the policy making level in general management decisions affecting the total organization. Decisions have appreciable impact on the department structure, economy of operations, and key officials. Positions work very closely with higher levels of management in determining program goals and priorities, resource needs, and changes having major direct impact on the organization managed. Operations managed represent a major controlling part of an agency's total mission, with significant indirect impact outside of the immediate organization.

Positions classified to the fifth level typically supervise three or more program managers at pay grade 34 or above with participation in policy making having controlling impact on the total organization. Positions have a high degree of freedom and absence of direct supervision with influence transcending functional areas to which directly assigned. Operations managed are carried out at the primary policy level having statewide impact and major influence on the total work of agencies having either major monetary impact in state government or very large programs directly affecting residents of the state. Positions serve in a

decision making capacity which has either a substantial monetary impact upon the operations of state government, or administers a very large technical program with a large staff representing a significant portion of the agency's overall mission and purpose.

#### General Conclusions:

The reviewed position directly supervises three subordinate supervisors at the level of pay grade 32 with a total staff of 19 in the Administration Division. Mr. Doe's involvement in general management decisions affecting the total organization primarily involves administrative areas having impact on the economy of operations.

Although this position plays a role in the departmental decision making process, the complexities of administrative problems, and size and level of the technical staff directed, are indicative of administrative positions classified to the third or fourth level of the PSE series. The presence of superintendents and business managers in the institutions diminishes significantly the opportunity of this position to independently make decisions having significant impact upon major programs controlling the department's mission and purpose as would be found in PSE 5 positions.

The Community Service, Industries, and Institutions programs administered by the Program Administrators have significant impact on the overall mission and purpose of the Department of XXX. Programs are often controversial and subject to public scrutiny, particularly at the institutional level. These administrators play a key role in establishing policy and making decisions in both their program areas and administrative areas required to carry out the programs as administered on a day-to-day basis. While policies have an impact on a department director's approval, there is a high degree of accountability placed upon these program administrators for their decisions and recommendations. On the other hand, decisions and recommendations made in administrative areas often are made within parameters and policies established by other departments such as Personnel Management, Revenue & Finance and General Services. Mr. Doe's responsibility centers primarily around coordinating and establishing policy and making decisions involving such administrative areas. While these decisions often have impact upon programs administered by the department, the parameters within which policies are established, span of control, complexity of programs, level of staff directed, and reliance upon policies developed outside of the Department of XXX are not of a level comparable to the accountability and decision making responsibility of the other division administrators or positions classified at the PSE 5 level.

#### Classification Decision:

This position will remain classified as Public Service Executive 4.

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# CHAPTER 8

## Processing Class Changes and Decisions

### Position/Employee Class Changes

The following documents and processing steps are applicable to position/employee class changes:

Position Change form (a.k.a. M-5) an electronic document used to make HRIS position class changes (e.g., class title, grade, code, etc.).

Personnel Action form (a.k.a. P-1) an electronic document used to make changes in an employee's HRIS payroll records.

1. The Employee or supervisor (if position is vacant) prepares PDQ and sends it to the agency's Personnel Assistant (PA).
2. If PDQ requests an upgrade (a change to a class in a higher pay grade), PA prepares an electronic Position Change (M-5) document and routes it to the Department of Management for a determination of funding and then send the PDQ to Personnel Officer.
3. If no upgrade or class change is requested, PO scans PDQ, verifies the propriety of the current classification, initials and returns the PDQ to agency for filing.
4. If an upgrade or change of class is requested, PO reviews the PDQ and determines whether they are in agreement with the classification change requested.
5. If the PO is in agreement with the classification requested or recommends an alternative class that is satisfactory to all parties, he or she approves the electronic Position Change (M-5) document and notify the PA of the decision.
6. If the position is occupied, the PA prepares and processes the Personnel Action (P-1) documents necessary to implement the change in the HRIS/payroll system.
7. If the PO does not agree with the class requested or detects a problems with the updated PDQ, a classification review is conducted (see processing steps listed below).
8. When the classification review process is completed and/or agreement is reached by all parties on the appropriate job class for the position, repeat processing steps 5-7 above.

### Classification Review Decisions

There are essentially three types of classification decisions that can be made. These are described as follows:

1. No substantial change in duties, no change in a position's classification.
2. A substantial change in duties, but no change in a position's classification.
3. A substantial change in duties and a change in a position's classification.

The following forms and processing steps are applicable to these decisions:

Notice of Classification Decision (CFN 552-0087) a form letter used to notify employees, supervisors or agency management representatives of the initial classification review decision. A blank copy can be found at the end of this chapter.

Notice of Reconsideration of Classification Decision (CFN 552-0088) a form letter used to notify employees, supervisor or agency management representatives of the final classification review decision. A blank copy can be found at the end of this chapter.

No Substantial Change In Duties Memo Format a standardized memo format used to inform employees, supervisors or agency management representatives of a decision to terminate processing of a classification review request because there has been no substantial change in the positions job duties. A copy can be found at the end of this chapter.

Classification Review Request Memo Format a standardized memo format used to inform employees, supervisors or agency management of the reasons for the job class recommended in a classification decision notice. A blank copy can be found at the end of this chapter.

1. If the PO review of the PDQ indicates there has been no substantial change in the position's duties (changes would not result in 50% or more of the position's duties be classified in a different or higher level job class) since it was last reviewed, prepare a Notice of Classification decision indicating the position's current job class and a memo explaining the decision (see "No Substantial Change In Duties Memo").
2. If PO agrees with the "class requested" or recommends an alternative class that is satisfactory to all parties, he or she should initiate processing beginning with step 5 above.
3. If the PO does not agree with the "class requested," he or she should prepare a Notice of Classification Decision indicating the "class recommended," attach a memo (see "Classification Review Request Memo Format" and a draft copy of an actual classification review memo in a letter format provided at the end of this chapter) or audit report that sets forth the reasons for the decision including a discussion of the "class recommended" and "class requested" along with copies of class descriptions/guidelines for the "class requested" and "class recommended" to the employee/agency and the position's supervisor.
4. If the employee/agency returns the notice agreeing with the "classification recommended" or fails to file a written request for reconsideration within 30 calendar days of the date the notice of decision was issued, initiate processing beginning at step 5 above.
5. If the employee/agency timely files a written request for reconsideration (including reasons for the request), the PO should review the employee/agency's reasons for the request and if he or she:
  - agrees with the reasons for the "class requested" or recommends an alternative class that is satisfactory to all parties, prepare a Notice of Reconsideration of Classification Decision indicating the appropriate and send to the employee/agency. When the notice is returned with the employee/agency's agreement with the "class recommended," initiate processing beginning with step 5 above.

- disagrees with the “class requested,” gather additional information before issuing a decision and/or prepare a Notice of Reconsideration of Classification Decision indicating the “class recommended,” an addendum to the classification review memo or audit report discussing the reasons for the decision, any additional class descriptions/guidelines applicable to the reconsideration request and send to the employee/agency and the position’s supervisor.
- If the employee/agency returns the notice agreeing with the “classification recommended” or fails to file a written request for an appeal within 14 calendar days of the date of the notice of reconsideration, initiate processing beginning at step 5 above.
  - If the employee/agency timely files a written request for a Classification Appeal Hearing process in accordance with steps prescribed in Chapter 9 of this manual.

### Updating the PDQ

The following sections of the PDQ must be updated for information purposes if a classification change is made.

FOR AGENCY USE ONLY	FOR IDOP USE ONLY
<input type="checkbox"/> <b>New Position</b> M-5 #: _____	<b>PDQ #:</b>
<input type="checkbox"/> <b>Duties have changed:</b>	<b>Class Title:</b>
<input type="checkbox"/> <b>Position review requested</b>	<b>18 Digit Position #:</b>
<input type="checkbox"/> <b>No position review requested</b>	<b>Personnel Officer:</b>
<input type="checkbox"/> <b>Response to IDOP request</b>	<b>Date:</b>

The processing steps are as follows:

- Write the correct class title and 18-digit payroll number from the Position Change document in the appropriate space provided in the FOR IDOP USE ONLY section.
- Sign or initial and write the date processed in “Personnel Officer” and date space, respectively in the FOR IDOP USE ONLY section.
- Check and record the number of the Position Change document in space provided in the FOR AGENCY USE ONLY section if the agency fails to do so.
- Attach all correspondence, notices, audit reports, etc., to the PDQ and return it to the agency for filing.
- If the PDQ is a “benchmark position” (i.e., very good example of the class) make a copy of PDQ and audit report for our reference files.

## **NOTICE OF CLASSIFICATION DECISION**

(DATE)

(18 DIGIT POSITION NUMBER)

(Request Number \_\_\_\_\_)

(EMPLOYEE'S NAME)

(EMPLOYEE'S WORK ADDRESS)

The duties and responsibilities assigned to you have been reviewed to determine the most appropriate job classification for your position. Based on this review, we have determined that your position should be in the job class of (JOB CLASS).

If you disagree with this job class recommendation, you may request reconsideration. Your appointing authority also has the right to request reconsideration. In lieu of reclassification, management has the option to realign your job duties to be consistent with your present job classification. Management must notify you and the Personnel Officer of the intent to do so. Thereafter, a new Position Description Questionnaire must be submitted to IDOP by management within 30 days to document the realignment of the duties.

Please mark the appropriate statement below, sign your name, and return this letter to me at the Department of Personnel within thirty calendar days following the date of this letter. If we do not receive this written response by that date, we will assume that you agree and this decision will become final.

(INSERT PARAGRAPH A, B, OR C)

\_\_\_ I agree with this decision.

\_\_\_ I disagree with this decision. I am not requesting reconsideration, but wish to comment (use reverse side).

\_\_\_ I disagree with this decision and request that it be reconsidered (use reverse side to cite which job class is most appropriate and your reasons).

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

Please contact me at (PHONE NUMBER) if you have questions concerning this matter.

(PERSONNEL OFFICER'S NAME AND TITLE)

c: Management Liaison  
Supervisor  
position file

CFN 552-0087 R 4/99

Insert - For Form Letter 0087

*(A. For a merit-covered position when the classification change is based on IDOP Rule 3.6)*

In accordance with IDOP Rule IAC 581-3.6(2), you will not be required to meet the qualifications for the job class to which your position will be reclassified. If the recommended job class involves a change which increases costs, the Department of Management must confirm that funds are available before the change will be effective.

*(B. For a merit-covered position when the classification change is based on any other reason:)*

In accordance with IDOP Rule IAC 581-3.6(3), you must meet the qualifications for the job class to which your position will be reclassified. If ineligible for appointment to that job class, you shall be transferred, promoted, demoted or a reduction in force will occur in accordance with IDOP Rule IAC 581-11.3. If the recommended job class involves a change which increases costs, the Department of Management must confirm that funds are available before the change will be effective.

*(C. For non-merit positions, when applicable:)*

Your position is (will be) exempt from the merit system provisions of Iowa Code Chapter 19A. Your continued employment is (will be) at-will and your department's appointing authority may or may not continue your employment in this position. If the recommended job class involves a change which increases costs, the Department of Management must confirm that funds are available before the change will be effective.

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## **NOTICE OF RECONSIDERATION OF CLASSIFICATION DECISION**

(DATE)

(18 DIGIT POSITION NUMBER)

(Request Number \_\_\_\_\_)

(EMPLOYEE'S NAME)

(EMPLOYEE'S WORK ADDRESS)

The decision concerning your position's job classification has been reconsidered. Having done so, the final decision is that your position will be classified as a \_\_\_\_\_. If you disagree with this decision and wish to appeal it, please mark the appropriate statement below, sign your name, and return this letter within fourteen calendar days following the above date to Chair, Classification Appeal Committee, c/o Iowa Department of Personnel, Grimes State Office Building, Des Moines, IA 50319-0150. Otherwise, please mark one of the other statements below, sign your name, and return this letter to me at the Department of Personnel.

(INSERT PARAGRAPH A, B, OR C)

Your appointing authority will receive a copy of this letter and also will have the right to appeal this job classification decision. In lieu of reclassification, management has the option to realign your job duties to be more consistent with your present classification. Management must notify you and the Personnel Officer of the intent to do so. Thereafter, a new Position Description Questionnaire must be submitted to IDOP by management within 30 days to document the realignment of the duties of the position.

\_\_\_ I agree with this decision.

\_\_\_ I disagree with this decision. I will not appeal it, but wish to comment (use reverse side).

\_\_\_ I disagree with this decision and want to appeal it (use reverse side to cite which job class is most appropriate and your reasons. Send to the Personnel Officer at the Department of Personnel).

If you appeal, a Classification Appeal Committee will hear the appeal in Des Moines during regular working hours. The Classification Appeal Committee cannot hear cases requesting that new classes be created or pay grades be changed. The hearing will be conducted in accordance with IDOP Rule 581-3.5(19A) and the contested case provisions of Iowa Code Chapter 17A. You will be notified of the time, date, and place of the hearing. Please note that no new information can be submitted at the appeal that was not previously submitted to the Department of Personnel during the classification review process.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

Please contact me at (PHONE NUMBER) if you have questions concerning this matter.

(PERSONNEL OFFICER'S NAME AND TITLE)

c: Management Liaison  
Supervisor  
position file

CFN 552-0088 R 4/99



Insert - For Form Letter 0088

*(A. For a merit-covered position when the classification change is based on IDOP Rule 3.6:)*

In accordance with IDOP Rule IAC 581-3.6(2), you will not be required to meet the qualifications for the job class to which your position will be reclassified. If the recommended job class involves a change which increases costs, the Department of Management must confirm that funds are available before the change will be effective.

*(B. For a merit-covered position when the classification change is based on any other reason:)*

In accordance with IDOP Rule IAC 581-3.6(3), you must meet the qualifications for the job class to which your position will be reclassified. If ineligible for appointment to that job class, you shall be transferred, promoted, demoted or a reduction in force will occur in accordance with IDOP Rule IAC 581-11.3. If the recommended job class involves a change which increases costs, the Department of Management must confirm that funds are available before the change will be effective.

*(C. For non-merit positions, when applicable:)*

Your position is (will be) exempt from the merit system provisions of Iowa Code Chapter 19A. Your continued employment is (will be) at-will and your department's appointing authority may or may not continue your employment in this position. If the recommended job class involves a change which increases costs, the Department of Management must confirm that funds are available before the change will be effective.

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## **No Substantial Change In Duties Memo Format**

February 2, 2001

### **MEMORANDUM**

**TO:** *(Name and Department of Employee or Supervisor, if Position Vacant)*

**FR:** *(Name of Personnel Officer or Practitioner)*

**RE:** Classification Review Request Position No. *(18 digit payroll number)*

In comparing your Position Description Questionnaire (PDQ) dated *(insert date PDQ was completed)* with the with the previous PDQ for your position dated *(insert date previous PDQ was completed)*, I find no substantive change in the duties (a change resulting in 50% or more of duties being classified in another job class) of your position's that would indicate it should be classified as other than a *(current class title)*.

The basic purpose of your position is to *(using classification guideline and description describe the kind and level of work performed by the position's current job class)*. The duties identified as "new" on your PDQ are consistent with your current job class.

Iowa Department of Personnel rule 3.4(6) states:

Following a final position classification review decision, any subsequent request for review of the same position must be accompanied by a showing of substantive changes from the position description questionnaire upon which the previous decision was based. A new position description must be prepared and all new and substantively changed duties must be identified as such on the questionnaire. The absence of a showing of substantive changes in duties shall result in the request being returned to the requester. A decision to return a request for failing to show substantive change in duties may be appealed to the classification appeal committee in accordance with rule 581-3.5(19A). The classification appeal committee shall rule only on the issue of whether substantive change in duties has been demonstrated by the appellant. The appellant has the burden of proof to show by a preponderance of evidence that there has been a substantive change in duties.

Please see the attached Notice of Classification Decision for an explanation of your appeal rights.

c: (Position's Supervisor)  
Position file

## **Classification Review Request Memo Format**

February 2, 2001

### **MEMORANDUM**

**TO:** *(Name and Department of Employee or Supervisor, if Position Vacant)*

**FR:** *(Name of Personnel Officer or Practitioner)*

**RE:** Classification Review Request Position No. *(18 digit payroll number)*

I have completed my review of your Position Description Questionnaire dated (PDQ) *(insert date updated PDQ was completed)* and have determined the appropriate job classification is *(title of class recommended)*. The purpose of this job class is to provide *(using classification guideline and description for the "class recommended", briefly describe the kind and level of work performed in this class)*.

The purpose of the classification you requested is to provide *(using classification guideline and description for the "class requested", briefly describe the kind and level of work performed in this class)*

The job duties described in your PDQ are more descriptive of ("*class recommended*").

c: *(Position's Supervisor)*  
Position file

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# CHAPTER 9

## Classification Appeals

Once the classification appeal is received, it is necessary for the Personnel Officer to prepare an appeal packet. To avoid duplication of exhibits, the Classification Appeal Committee has requested that the following documents be entered as joint exhibits for use by either party at the appeal hearing.

Tentative and final decision letter	Joint Exhibit 1
Audit Report	Joint Exhibit 2
Position Description Questionnaire	Joint Exhibit 3
Class descriptions	Joint Exhibit 4
Classification Guidelines	Joint Exhibit 5

The Personnel Officer is responsible for providing five copies of the above exhibits to the Classification Appeal Committee's liaison, who will distribute the exhibits prior to the hearing.

The parties must send five copies of each exhibit they intend to introduce at the hearing to the Classification Appeal Committee. All exhibits must be marked (i.e., Appellant's Exhibits 1, State's Exhibit 1) and be received two weeks prior to the scheduled hearing date. The Classification Appeal Committee's address is as follows:

Classification Appeal Committee  
Iowa Department of Personnel,  
Grimes State Office Building, 400 East 14<sup>th</sup> Street  
Des Moines, IA 50319

Exhibits will be distributed as follows:

- 1 copy for each member of the Classification Appeal Committee (3)
- 1 copy for the Department of Personnel's representative
- 1 copy for the appellant

Any objections to the exhibits will be noted for the record. Exhibits will then be admitted into evidence as a package. The Committee will consider nothing in its decision that is not put into evidence at the hearing.

The hearing will begin with opening statements by the appellant and the Department of Personnel's representative. In the opening statement, each party should simply and briefly state the remedy sought by the appeal hearing. After the opening statements, the appellant will be sworn in and present his/her case. Each witness called by the appellant or the department will be sworn in, and each party will be given the opportunity to examine each witness.

After the completion of the appellant's case, the Department of Personnel's representative will be sworn in and then present his/her case. At the conclusion of the Department of Personnel's case, the Appellant, will be given the opportunity to call any rebuttal witnesses. After the close of the evidentiary hearing, each party may make a brief closing statement.

The appeal committee will then go into closed session and reach a decision to find for the appellant, the personnel officer or remand the case back to the Department of Personnel. The decision will be sent to all parties within 30 calendar days of the hearing.

If either party disagrees with the committee's decision, they may take the case to District Court for judicial review. The Personnel Officer is responsible for processing the PDQ and any necessary position/employee change documents (see Chapter 8 of this manual) in accordance with the Classification Appeal Committee's decision.

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# CHAPTER 10

## Terminology

Every occupation has its own jargon. Personnel is no different in this aspect. The following terms have special meanings to those working in classification and have been defined as follows.

<u>Agency:</u>	Same as Department.
<u>Allocation:</u>	Same as Classification.
<u>Appointing Authority:</u>	The officer, board, commission, person or group of persons having the power by law or lawfully delegated authority, to employ (appoint) or dismiss from employment in the state service.
<u>Assignment:</u>	The duties, tasks and responsibilities which make up a position and which are delegated by the appointing authority to an incumbent employee in such a position.
<u>Audit:</u>	In-person interview(s) with an employee and/or supervisor to review the duties assigned to and performed in the employee's position.
<u>Audit Report:</u>	A narrative presentation in <u>pre-determined form</u> of significant information obtained through a personnel review of a position or positions and of fully supported recommendations as to proper classification of the position or positions audited.
<u>Board:</u>	One of several units created by law, usually consisting of several persons which advise a department or agency.
<u>Class:</u>	A grouping of all individual positions which are sufficiently alike in kinds of duties, levels of responsibilities and qualifications necessary to perform the work as to warrant like treatment in such personnel functions as fixing pay rates, selection devices, transfer, promotion, etc.; e.g., Clerk, Custodial Worker.
<u>Class Code Number:</u>	A numerical designation of five digits assigned to each class and associated with the schematic or occupational grouping of which that class is a part (e.g., 00012 Clerk Typist).
<u>Class Description:</u>	Description of a class which includes a general definition, examples of duties, list of major competencies needed to perform duties, and minimum requirements for entry.

<u>Class Status:</u>	<p>A one letter symbol indicating whether a class is supervisory, exempt, non-supervisory or contract covered.</p> <p>E - Exempt from collective bargaining coverage  N - Covered by a collective bargaining agreement  S - Supervisory exempt from collective bargaining  U - Eligible for collective bargaining, not organized</p>
<u>Class or Series Study:</u>	A review and analysis conducted to determine whether or not existing class structures are adequate to accommodate all applicable job situations, reflect the duties and responsibilities involved; and/or to develop recommendations and determinations as to revisions of existing concepts, the establishment of new ones, the deletion of existing classes and transfer of those positions to other classes, or the combination of classes.
<u>Classification:</u>	The placing of a position in an appropriate class on the basis of assigned and performed tasks, duties and responsibilities, sometimes called “allocation.”
<u>Classification Appeal:</u>	A formal request in accordance with established procedures and rules by an agency or employee to the Iowa Department of Personnel to review the classification decision made for a particular position.
<u>Classification Factor:</u>	Those elements of duties or responsibilities which apply to a position indicating the kind and level of work being performed in the classification of the position.
<u>Classification Guideline:</u>	A written guideline that describes how a class differs from others, and gives classification factors for positions in that class.
<u>Classification Plan:</u>	The listing of all classes both in class code and alphabetical order. Also included is information on pay, bargaining status, pay plan, EEO code, exam type, etc. The plan is normally published at the start of the new fiscal year.
<u>Classification Request:</u>	The request of an appropriate official of an agency or an employee for a review of the classification of a new or established position; the latter would be more common by employees.
<u>Commission:</u>	One of several organizational units which has been created by law as an advisory board or a group by law; may be an advisory board to a department or agency.
<u>Competencies:</u>	Knowledges, abilities, skills, and behaviors that are measurable and related to superior job performance.
<u>Cost Center:</u>	A four-digit numerical code, which is part of an eighteen-digit payroll number, that identifies a particular section or unit within a department, commission or office.

<u>Department:</u>	An organizational unit created by law consisting of all positions which are under the same appointing authority.
<u>Department Code:</u>	A three-digit numerical code, which is part of an eighteen-digit payroll number, that identifies a department, commission or office.
<u>Downgrade:</u>	The change of a position from one class to another having a lower pay grade.
<u>Duty:</u>	A single piece of assigned work; used synonymously with task.
<u>Employee:</u>	A person who is paid directly by the State of Iowa for work performed in a temporary or permanent state position.
<u>Generic Class:</u>	A class which is composed of positions that are located in more than one department, commission, or agency.
<u>Incumbent:</u>	An employee working in a position.
<u>Indigenous Class:</u>	A class in which all positions are located in one department.
<u>Job:</u>	1) A group of specific duties and responsibilities approved by an appointing authority to be assigned to one employee; synonymous with Position; 2) One specific duty.
<u>Job Audit:</u>	See Audit
<u>Job Analysis:</u>	An in-depth study of a class; resulting prioritized lists of class duties and necessary competencies.
<u>Job Class:</u>	See Class
<u>KASPC's:</u>	An acronym for knowledges, abilities, skills and personal characteristics found in class descriptions under the Competencies Required section.
<u>Lateral:</u>	Position reclassified to another class in the same pay grade.
<u>Lead Work:</u>	Means a responsibility assigned to an employee by management to direct (instruct, answer questions, distribute and balance work, accept, modify or reject completed work, maintain attendance records, report infractions and provide input on staffing decisions) the work of two or more employees (federal, state, county, municipal and private employment organization, volunteers, inmates or residents).
<u>Merit Increase:</u>	<u>Non contract classes:</u> a pay raise given at regular intervals on the basis of at least a competent performance evaluation over a period of time. <u>Contract</u>



classes: an automatic pay increase which increases an employee in a pay grade to the next step or a stated percentage increase over a period of time.

M.Q.: An acronym for minimum qualifications.

Organizational Chart: A graphic representation of lines of authority, supervisory and work relationships within a unit, organization or agency. These should show class codes and sequence numbers as well as names of supervisors at a minimum.

On-step: Describes a salary at one of the specified steps (levels) in a pay grade.

Off-step: Describes a salary that is an amount between two specified steps (levels) within a pay grade.

PDQ: Position Description Questionnaire.

Pay Grade: A minimum and maximum range of dollar amounts. Classes are assigned pay grades for salary administration purposes.

Pay Plan: A chart which lists all the numbered pay grades that are used for one group of classes (e.g., Pay Plan 003 covers Blue Collar non-supervisory classes). The Pay Plan is normally published at the start of the new fiscal year.

Pay Range: The width of a pay grade also used to mean the same as pay grade.

Pay Step: A stated amount that is part of a pay grade (e.g., step 3 of pay grade 16).

Payroll Number: Same as Position Number

Permanent Employee: An employee working in a permanent position who has successfully completed a six month probationary or work test period.

Personal Characteristic: A physical or mental personal trait that is required of all employees for job performance in a class and can be accurately measured (e.g., 20/20 correctable vision for pilots).

Position: A group of specific duties and responsibilities approved by an appointing authority to be assigned to one employee. A position has an eighteen-digit position number and may be filled by an employee or be vacant.

Position Comparison: A method of verifying the classification of a position which involves comparing a particular position to other positions that have the same job duties, or have class titles in the same field of work as the position.

Position Number: An eighteen-digit number that identifies a position from all others; consists of a three-digit department code number, followed by a three-digit funding

source code number, four-digit cost center code number, five-digit class code number and a three digit seat number.

<u>Probationary Employee:</u>	An employee working in a permanent position who has not yet completed a six month probationary or work test period.
<u>Qualification:</u>	The least amount of training, experience and other qualifications required at entry for a class as found in the Class Description.
<u>Reclassification:</u>	Changing the classification of a position; same as reallocation.
<u>Red-Circled Salary:</u>	An employee's salary that is being kept at a level higher than the top step in the pay grade of that employee's class for a specified period of time.
<u>Rule of Mixed Positions:</u>	Provides for classification of a position in the higher of classes when duties from different classes are performed in one position.
<u>SAQ:</u>	Supervisory Analysis Questionnaire.
<u>Seat Number:</u>	The three-digit identification number of a position that distinguishes the position from other positions in the same class and work unit; the last three digits of a position number.
<u>Series:</u>	A group of classes that are closely related by type of work; each class in a series usually represents a different level of responsibility or complexity (e.g., Budget Analyst 1, 2, 3, 4).
<u>Series Guideline:</u>	A written guideline that lists classes in a particular series and describes the type of work performed by those classes; may describe differences between classes in the series if there are not separate class guidelines; also called a standard.
<u>Skill:</u>	Performance of a duty that is measurable and quantifiable.
<u>Span of Control:</u>	The number of employees supervised by one person.
<u>Step Increase:</u>	An automatic pay adjustment which increases an employee's pay from one step in a pay range to the next step in the range.
<u>Supervision:</u>	Means a responsibility assigned to an employee by management to direct the work of two or more employees and hire, evaluate, reward, promote, transfer, lay off, recall, respond to grievances and discipline those employees.
<u>Table of Organization:</u>	A computer printout arranged by the first ten digits of the position number and the class and seat numbers which lists statistics about each position and the incumbent employee; also called H.O. 75.

<u>Task:</u>	A single piece of assigned work; used synonymously with duty.
<u>Trainee/Journey:</u>	When a position requires a specified training period before an employee would normally be able to work at full capacity (journey level), a separate class is developed (trainee level) which provides for a lesser pay range while the employee is performing work at the trainee or learning level. In some classes the trainee and journey classes have been merged and an extended pay range adopted.
<u>Upgrade:</u>	A term often used to describe a promotion, the classification of a position to a class with a higher pay range, or the change of a class from one pay grade to a higher pay grade.
<u>Within Grade Increase:</u>	Periodic automatic or performance based pay increase, either in step or percent of base increments, within the pay range for a class.
<u>Work Examples:</u>	Representative descriptions of duties performed in positions of a class.

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# CHAPTER 11

## Class Descriptions

This chapter gives an overview of class description development. It will familiarize personnel officers with the individual parts of class description and the particular elements that are important to construction. At the end of this chapter, you will find a copy of the standardized format used for class descriptions (the electronic version is accessible on the C and C Communications folder on the “P” drive) and a comprehensive checklist that provides specific instructions on development. This checklist should be utilized whenever you are developing or revising a class description..

In any personnel system, class descriptions can serve several purposes. For the State of Iowa, these include the following:

- *A public document* – the class descriptions is a source of information on the kind/variety of duties and the level/scope of responsibilities of the job class it describes. It aides to the applicant and employee’s understanding of the work performed and possible career paths that may exist.
- *An initial guide in the selection process* - the class description includes a list of competencies (knowledge, abilities, skills and other individual/personal characteristics or attributes) which are needed at the time of hire and that should be assessed during the selection process. These are found in the *Competencies Required* section. The description also lists education and/or experience backgrounds where these essential competencies may be acquired.
- *A source of information for employee development and evaluation* - the class description provides basic information on the duties/responsibilities performed by incumbents in the class and that can be used as a guide in measuring an employee's strengths and weaknesses and in targeting necessary training.
- *A point of reference for job evaluation* – a proper description of the class is a necessary references when evaluating a class using a job evaluation methodology or system.
- *A foundation for position classification* – the class description is the foundation for development of classification guidelines and acts as a reference point in classifying individual positions. The class description is the primary document used by employees and laypersons to distinguish differences between the various classes in a classification plan.

The class description must be interpreted/applied in its entirety for whatever purposes it is used.

### **DEVELOPMENT**

Class descriptions should not be written abstractly. Development must be based upon a detailed and probing collection of information about the work performed (job analysis). Descriptions should be constructed using extensive, continuing involvement and feedback from subject matter experts (e.g., incumbents in and supervisors of the job) including initial preparation of position description questionnaires

(PDQs) and review of draft class descriptions. For more details on the uses and methods of job analysis, refer to IDOP's Selection Research & Development Manual.

Preparation of a class description should begin only after necessary job analysis data (usually including PDQs) has been collected, analyzed, and arranged into a logical and describable sets of duties. Each duty set (class) should be screened to identify concepts common to all positions. All elements/concepts that differ between the positions in a class should be carefully reviewed to determine if they are of consequence to job design principles and practices. Begin writing class descriptions with the entry level class in a series or an occupational grouping and then move upward. In addition to subject matter experts., draft class descriptions should be circulated among IDOP staff members (Personnel Officers and Class and Comp) for comments on possible additions, revisions, or deletions.

In constructing a class description, two objectives should be met: 1) the basic findings of the job analysis are presented in an accurate, meaningful and readable fashion, and 2) the information (definition, work examples, competencies required and education/requirements) provided is presented in a standardized format so it can be compared with other classes in a personnel system.

Class descriptions are intended to provide examples of work for classified positions, not a "hard and fast" standard for use in position classification. Because of this, if class descriptions are used for comparative purposes in classification decision making, they should be taken as a whole when compared to other class descriptions. Particular phrases or examples of work should not be isolated and treated as definitive for a particular kind or level of work. Class descriptions are intended to be distinct documents and their contents should not be readily duplicated when constructing other class descriptions.

A standardized display format is used for class descriptions to facilitate comparisons with others in the classification plan. A sample of the current format is located at the end of this chapter and the electronic version is available in the C and C Communications folder on the "P" drive. Each section of the class description is intended to provide information for a specific purpose, yet relate to each other to present a complete picture of the job class. The following guideline has been provided to give you an idea of the contents of each individual section.

### *The Class Title*

The class title is intended to provide a description of the kind or field (e.g., typing or accounting, etc.) and level (e.g., Trainee, Senior, Supervisor, etc.) of work performed in the job class. Where there is more than one class in an occupational series, Arabic numerals (1, 2, 3, 4, etc.) are sometimes used in the title to designate class level, with "1" being the lowest level in the series. Use of the same numeral in a different series does not imply a relationship between the classes. Terms such as Trainee, Senior, Supervisor, Manager or Administrator are often used in place of numerals and in many cases they are preferred because they are more meaningful in describing class level. When using a descriptive level term in a title be sure that the level descriptor follows the kind of work title (e.g., use Correctional Officer Senior not Senior Correctional Officer) to maintain the alphabetical sequence in the classification plan. Also, there are state/federal laws and regulations that prohibit discrimination on a basis of sex. In view of this, titles that appear to arbitrarily exclude women should not be used (e.g., maintenance worker instead of maintenance man). Attention to the following characteristic will normally insure selection of a good class title:

- a. Descriptiveness.
- b. Brevity.
- c. Consistency with the existing title structure.
- d. Capability of conveying the proper impression of the work performed.

### Definition

This section lists the definition of the class and should include the major purpose/activity (e.g., inspects, instructs, supervises, etc.) done by employees in the job class in the “kind of work” (e.g., engineering, biology, accounting, etc.) performed. If the kind of work is a broad occupational field (e.g., engineering) an appropriate specialty modifier (e.g., civil, electrical, environmental, etc.) can be used to further define the kind of work. The work may also have a “scope” (e.g., city, county, state, etc.) aspect to it, in which case the appropriate modifier should also be used. The narrative should be written clearly and briefly. Examples of this format are which always start with an active verb:

“Provides evaluations and recommendations pertinent to grant proposals and monitors grant implementation activities to ensure conformity with grant stipulations...”

“Conducts inspections of mobile homes, recreational vehicles, and manufactured housing to determine compliance with State regulations and laws...”

“Prepares and processes personnel documents and/or transactions to execute personnel actions in accordance with established regulations...”

“Performs servicing and mechanical repair work on automotive equipment to maintain the operational status of a vehicle fleet...”

“Provides law enforcement and crime prevention services and performs enforcement duties involving state and local traffic regulations...”

The definition should always end with the clause, “performs related work as required”. This language is intended to indicate that every duty performed in the class is not covered in the description and that employees may be subject to work assignments that are not expressly stated.

### Work Examples

This section lists work examples performed by employees in the class. Work examples are primarily for informational purposes and not intended to describe all work performed in the class nor are incumbents expected to perform every work example listed. Also, performance of one or more work examples should not be considered as conclusive evidence that a position belongs in a certain class. Construction of work examples should follow an established format, which ideally includes answering the following questions:

- What is the action/activity?
- To whom/what is the action directed?
- How is the action/activity done?

The Selection Research & Development Manual has a section on writing tasks statements that are used in formal job analysis projects. Work examples are essentially a scaled down version of task statements. The manual section dealing with task statements can be a good resource when you are developing work examples.

An important aspect in the construction of work examples is choosing the right words to depict the actions/activities performed., particularly the leading action verb. Action verbs should convey the maximum amount of meaning without being too vague. Beginning a work example with words like “assists,” “administers” or “handles” conveys little information about the actual work performed. Using others like “examines,” “develops,” and “researches,” without an explanation of the subject matter or operations that cause the action, is a sign of inadequate information. The need for proper word usage can be seen in the following illustration:

*“prepares statistical tables.”* This could mean the employee researches and collects the source data, determines the applicable statistical measures (mean, median or standard deviation) designs the tables to convey meaning and writes the text; or it might mean the employee simply posts figures to a worksheet and adds the columns using a calculator. It is impossible given this choice of words to accurately judge the nature of the work.

The following are guidelines that should be considered when developing work examples:

1. Each work example should be confined to one operation/transaction or a few closely related transactions that make up a single indivisible work process.
2. Do not group work examples into paragraphs. They should consist of a single sentence that may vary in length depending upon the number of steps or procedures involved.
3. Avoid the using specialized typography including bold face type, italics, or underscoring, plus indenting, numbering, or lettering.
4. Start each work example with an action word (a verb) in the third person singular (e.g., investigates complaints not investigate complaints).
5. Be clear and use non-technical vocabulary wherever possible. Avoid the use of the word “etc.” and undefined adverbs and adjectives (e.g., good, normal, rarely). If abbreviations are used, be sure they are written out and keyed prominently in their first occurrence.
6. Avoid the use of the names or acronyms of agencies, sections, or units; the proper names of program functions; and class titles.
7. Avoid using examples of work that are minor/occasional, common to all jobs or taken for granted in the particular occupation.
8. Limit the number of work examples to no more than ten and not less than six.
9. Do not use verbatim work examples from a position description questionnaire.

Use one of the following patterns for determining the order of work examples (listed in order of preference) on the class description:

- a. Rank the duties by their importance, in descending order.
- b. List the most common duties first.
- c. List the duties in sequence of their occurrence in time (i.e., daily, monthly, seasonally) or in a process.

### Competencies Required

This section of the class description lists the competencies needed by an employee to satisfactorily perform the work of the class. They are an important by product derived from work examples and used in most areas of personnel administration including the development/validation of selection processes, recruitment, training, classification and compensation. Competencies are a somewhat recent term of art for what used to be referred to in professional literature as KASPCs (knowledge, abilities, skills, and personal characteristics). These are defined as follows:

Knowledge an organized body of information, usually of a factual or procedural nature.

Ability is the power to perform an activity.

Skill is the proficient manipulation of data, people or things usually manually. Skill embodies observable, quantifiable and measurable performance parameters.

Personal Characteristic a special trait needed to do the work but plays no active part in the actual performance of the task (e.g., vision correctable to 20-20, color vision sufficient to discriminate color codes, hearing correctable to hear whispered voices).

When writing competency statements, beware of statements like “Knowledge of the English language” or “Ability to interact with co-workers to establish and maintain work relationships.” In most cases, these are already incorporated into “core” competencies (competencies expected of all employees). Certain personal behaviors (e.g., sobriety, dependability, honesty, etc.) also apply to practically all positions and should not be written separately from core competencies, unless there is an unusual physical or personal characteristic required by the class. Competency statements should be consistent with the definition and work examples for the class and its classification concepts. For example, if the concept of a class is supervision, it should include a competency statement on supervision (e.g., knowledge of the principles and practices of supervision). Knowledge competency statements should also include an explanation of the “kind” of knowledge required (e.g., practices, techniques and methods) and “areas” to which they are applied, such as in the following examples:

- a. Knowledge of the principles, practices, and concepts of administration as applied to the operation of government programs.
- b. Knowledge of the principles, practices, and procedures of civil engineering as applied to the maintenance and repair of a variety of road surfaces.
- c. Knowledge of the administrative procedures and record systems used in maintaining and processing accounts.

The more a competency statement is related to a work example the more meaningful it is to the reader. To illustrate, using the following work example for the Income Maintenance Worker class, we can write a general list of competency statements as in “A” below or a more related list as in “B

Compares welfare applicant's financial and personal situation with welfare eligibility standards to determine both initial eligibility and level of assistance.



- A. Knowledge of welfare finances and standards.  
Knowledge of numbers.  
Ability to compare.
- B. Knowledge of Iowa and federal welfare regulations.  
Knowledge of arithmetical computations.  
Ability to make decisions.

Clearly the more related list of competency statements in “B” are more meaningful to the reader than those in “A.” When writing knowledge competency statements for multiple classes in a series, a comparison should be made between each class in the series to determine if the knowledge requirements are the same or different. It may be necessary to examine the classification concepts and work examples for each class in the series to determine if the appropriate knowledge competency statements are listed.

It is also useful to define work requirements in competencies by using behavioral action or goal oriented statements. Using the same Income Maintenance Worker work examples as above, we could write behavioral action/goal oriented competency statements for these as follows:

Ability to determine applicant eligibility through comparison of family size and income to State eligibility standards.

Ability to calculate level of assistance available through multiplication of family size by a standard formula and subtraction of a defined percentage of income.

### Education, Experience, and Special Requirements

This section of the description lists the minimum education and experience needed to reasonably provide an applicant with the competencies necessary for successful job performance in the class. They have no relevance to the qualifications of present employees in the class.

When establishing minimum qualifications, artificial barriers that have a disparate impact on protected classes should not be used. To assist employers in this matter, the federal government has developed the Uniform Guidelines on Employee Selection Procedures (1978). These guidelines are covered in the Selection Team's Selection Research & Development Manual. The “Uniform Guidelines,” in essence, maintain that any specified level of education is valid only if there is a distinct link between the content of the education and the content of the job for which the level of education is specified. Experience requirements also have to be tied to job relevant duties (work examples) and they cannot have an adverse impact on protected classes.

In developing minimum qualification, a decision has to be made whether to place an education statement or an experience statement first. If the majority of qualified applicants are expected to have post high school course work/training and this is the basic audience which an agency desires to recruit, the education statement should be placed first. Also, educational requirements should not be viewed as absolutes. Educational requirements should be flexible enough to allow substitution of job related experience for most formal education.

### Necessary Special Requirements

This section is of the description is used when there is a state/federal statutory requirement to limits the practice of a profession or occupation to persons who possess a specific license or certificate. The specific license or code citation must be stated.

### Selective Certificate Statement

When developing or revising a class description, especially if the class concept is broad, it may be necessary to permit agencies to narrow the eligible list to only those applicants with a particular experience or educational background. When making a decision on creating a selective certification, a determination must be made if the selective area (subject matter or expertise) is:

- reflected in the \*essential functions (defined as those functions that an individual must be able to perform to hold the job) of the class or a position in that class;
- more important to job performance than other areas stated in the Education, Experience and Special Requirements section of the class description.

\* see section 3.15 of the “Managers and Supervisors Manual” for more information

The Employment Section of the Customer Services Division maintains a list of code numbers for all selective certification areas. When considering a selective certification area, this list should be reviewed to determine if a suitable selective code already exists. If one does not, you will need work with the Employment Section to establish a new code.

### The “Note” Statement

Near the end of the specification, notes are used to communicate important information concerning the nature of the job and conditions of employment to applicants.

### Effective Date:

This gives the month and year the class description was adopted or revised. The initials of the person that did the work are included to the right of the date.

## **Class Description Development Checklist**

*An electronic shell has been developed for constructing class descriptions. It is available in the C & C Communications folder on the "P" drive and a copy is included at the end of this chapter.*

### **CLASS CODE**

Assign code(s) to maintain conformance with "job family" groups. Keep codes in sequential order, i.e., lowest to highest. IF CLASS COVER BY A COLLECTIVE BARGAINING AGREEMENT, UNION NOTIFIED OF TITLE CHANGE AND GIVEN 20 DAYS TO RESPOND.

### **TITLE**

Whenever possible, phase out use of numbers to designate levels in series and use descriptive words (e.g., senior, advanced, supervisor, manager, etc.) for levels. Place the subject-matter portion of title first (e.g., Transportation for the Transportation Engineer Senior) to maintain alphabetical consistency of the class plan. IF CLASS COVER BY A COLLECTIVE BARGAINING AGREEMENT, UNION NOTIFIED OF TITLE CHANGE AND GIVEN 20 DAYS TO RESPOND.

### **DEFINITION**

Include the following elements in the definition:

- 1) an overview of kind or type of work performed
- 2) the level of work (e.g., trainee, journey, lead worker, supervisor) performed
  - trainee
  - journey/experienced
  - lead worker\*
  - supervisor
  - manager

\* use the introductory statement "leads two or more employees, volunteer, inmates or residents in performing..." in the definition for all lead work classes.

- 3) the disclaimer "performs related work as required."

ELIMINATE REFERENCE TO SUPERVISION RECEIVED, (i.e., under close, limited, general supervision, etc.) in the definition and begin definition with an active verb (e.g., Performs).

### **WORK EXAMPLES**

Work examples should begin with an active verb and be about one sentence in length. They should link an action or activity (What?) to an object or source (To Whom, What?) of the action/activity. Related actions or activities may be connected together in a work example through the use of semicolons. List work examples in order of importance. If the concept of the class is "supervisory" or "lead work" include the following supervisory or lead work example and list it first in order:

*Supervisory Work Example* - Supervises and evaluates the work of subordinates and effectively recommends personnel actions related to selection, performance, leaves of absence, grievances, work schedules and assignments, disciplinary procedures, and administers personnel and related policies and procedures.

*Lead Worker Work Example* - Assists supervisor by performing such duties as instructing employees, answering questions, distributing and balancing the workload, and checking work; may make suggestions on selection, promotions and reassignments.

Omit all other work supervisory examples. Work examples that relate to the supervision of program or functions should be described using such terms as “directs,” “administers,” etc.

## **COMPETENCIES REQUIRED**

Do not duplicate the default core competencies that are automatically added to every class description under the new format. If you are revising an existing class description, you may need to delete or edit some of the existing competencies to accommodate for the default core competencies.

Also, if class concept is supervisory, be sure to include a competency statement that reflect this responsibility (e.g., “Ability to plan, organize, control and effectively supervise the work of subordinates.”).

## **EDUCATION, EXPERIENCE & SPECIAL REQUIREMENTS**

These should be written at the minimum level necessary to do the job. Substitution clauses should be used where appropriate. The following standardized format clauses should be used:

### *EXPERIENCE CLAUSE:*

- 1) *Any Area No Limit* - Experience equal to (months or years) of full-time work in (area of work);
- 2) *Any Area Maximum* - Experience equal to (months or years) of full-time work in (area of work), with a maximum substitution of (months or years);
- 3) *Specific Experience Maximum* - Experience equal to (months or years) of full-time work in (area of work), with at least (months or years) of full-time experience in (specific area).

### *EDUCATION CLAUSE: (Diploma/Degree Required):*

- 1) *High School Diploma* - Graduation from high school or G.E.D.;
- 2) *College Degree Any Area* - Graduation from an accredited college or university;
- 3) *College Degree Major Emphasis* - Graduation from an accredited college or university with major course work in (area of emphasis);
- 4) *College Degree Specific Coursework* - Graduation from an accredited college or university with (number) semester hours in (specific area);
- 5) *Master's Degree Major Emphasis* - A master's degree from an accredited college or university with major coursework in (area of emphasis).

*EDUCATION CLAUSE: (No Diploma/Degree Required):*

- 1) *Any Area* - (semester hours or months) Post high school coursework from an (accredited college or university or a recognized trade school);
- 2) *Major Emphasis* - (semester hours or months) Post high school course work from an (accredited college or university or a recognized trade school) with major course work in (area of emphasis).
- 3) *Specific Coursework* - (number of semester hours or months) Post high school coursework from an (accredited college or university or a recognized trade school) with (number of semester hours or months) coursework in (specific area).

*SUBSTITUTION OF EDUCATION FOR EXPERIENCE:*

- 1) *Any Area No Limit* - An equivalent combination of education and experience substituting (30 semester hours or 1 year) of accredited post high school education for each year of the required experience;
- 2) *Specific Coursework No Limit* - An equivalent combination of education and experience substituting (30 semester hours or 1 year) of accredited post high school education in (area of specialization) for each year of the required experience;
- 3) *Any Area Maximum* - An equivalent combination of education and experience substituting (30 semester hours or 1 year) of accredited post high school education for each year of the required experience to a maximum of substitution of (number of semester hours or years);
- 4) *Specific Coursework Maximum* - An equivalent combination of education and experience substituting (30 semester hours or 1 year) of accredited post high school education in (area of specialization) for each year of the required experience to a maximum substitution of (number of semester hours or years).

*SUBSTITUTION OF EXPERIENCE FOR EDUCATION:*

- 1) *Experience No Limit* - An equivalent combination of experience and education substituting one year of the required experience for each (30 semester hours or 1 year) of the required education;
- 2) *Experience Maximum* - An equivalent combination of experience and education substituting one year of the required experience for each (30 semester hours or 1 year) of the required education to a maximum of (number of years);
- 3) *Specific Experience* - One year of experience in (specific area) may be substituted for each (30 semester hours or 1 year) of the required education.
- 4) *Qualifying Experience* - One year of qualifying experience may be substituted for each (30 semester hours or 1 year) of the required education.

*PROMOTIONAL CLAUSE:*

Employees with current continuous experience in the state executive branch that includes experience equal to (number of) months of full-time work as a (class title/titles).

**Necessary Special Requirements:**

Use the following standardized clause for those job classes that requires licensure under state law:

Licensure as (occupational title) in the State of Iowa by (name of licensing authority)

## **Selective Certificate Statement**

Use the following standardized selective certification clause for writing these statements:

### **Selective Certification**

For designated positions, the appointing authority, with Iowa Department of Personnel prior approval, may request those applicants possessing a minimum of twelve semester hours of education, six months of experience, or a combination of both, or a specific certificate, license, or endorsement in the following areas:

(3-digit number) (Background)

applicants wishing to be considered for such designated positions must list applicable coursework, experience, certificate, license, or endorsement on the application.

Please note that for specific situations the number of semester hours or month of experience can be changed with justification.

## **The “Note” Statement**

Following is the format and some common examples of “Notes” that are currently being used:

NOTE: After accepting an offer of employment all persons are required to have a physical examination by a doctor of choice verifying their physical ability to perform the duties described.

NOTE: Positions in this class are exempt from the screening and referral requirements of the Iowa Department of Personnel. Apply directly to the employing agency.

NOTE: Travel may be required for positions in this class. Employees must arrange transportation to and from assigned work areas.

## **Effective Date:**

Use the month and year the class description was adopted or revised and the initials of the person who developed or revised the description to the right of the date.

Class Code:

## STATE OF IOWA ▼ DEPARTMENT OF PERSONNEL

# JOB CLASSIFICATION NAME

---

### DEFINITION

The Work Examples and Competencies listed are for illustrative purposes only and not intended to be the primary basis for position classification decisions.

### WORK EXAMPLES

### COMPETENCIES REQUIRED

Displays high standards of ethical conduct. Exhibits honesty and integrity. Refrains from theft-related, dishonest or unethical behavior.

Works and communicates with internal and external clients and customers to meet their needs in a polite, courteous, and cooperative manner. Committed to quality service.

Displays a high level of initiative, effort and commitment towards completing assignments efficiently. Works with minimal supervision. Demonstrates responsible behavior and attention to detail.

Responds appropriately to supervision. Makes an effort to follow policy and cooperate with supervisors.

Aligns behavior with the needs, priorities and goals of the organization.

Encourages and facilitates cooperation, pride, trust, and group identity. Fosters commitment and team spirit.

Expresses information to individuals or groups effectively, taking into account the audience and nature of the information. Listens to others and responds appropriately.

### EDUCATION, EXPERIENCE, AND SPECIAL REQUIREMENTS

### NECESSARY SPECIAL REQUIREMENTS

### SELECTIVE CERTIFICATION

Effective Date: \_\_\_\_\_

## Processing Class Description/Plan Changes

1. Send a note to Paul Cook to copy the class description (be sure and include class code) from the “Class Descriptions - Final” folder to the “Class Descriptions - In Progress” folder on the “P” drive.
2. Use the “Class Description Development Checklist” to make the necessary changes in the class description.
  - Class plan (class title, class code, EEO, occupational category and overtime codes, bargaining unit and status, pay grade and pay plan) and HRIS system code (mode of pay, retirement plans, comp time bank and overtime maximum) changes must be discussed and approved by the C and C Section before finalized.
  - Class plan changes for classes covered by collective bargaining agreements must be discussed and approved by the Labor Relations Team and, the union notified in writing of the changes and given 20 calendar days to respond, before finalized;
  - Substantive changes to minimum qualifications should only be after consulting chapter 4 (“Establishing Job Requirements”) and chapter 10 (“Qualifications and Selective Requirements”) of the “Applicant Screening Manual.”
  - Selective certification changes and/or additions must be discussed and approved by the Employment section before they are finalized.
3. Submit revised class description to affected agencies for review/comment (give 7-10 days).
4. Incorporate necessary agency comment into class description and prepare a “Class and Pay Update” as follows:
  - *Use 083 Short Form* for changes to the class description (e.g., definition, work examples competencies, minimum qualifications, special requirement, selective certifications and notes) and class guideline only. The preferred implementation date for class description changes is the beginning of a pay period. However, if the timing of an effective date is an issue, other dates can be used. Estimate the implementation date using a 30 day window for publishing of the Class Activity Recap.
  - *Use 084 Long Form* for class plan (class title, class code, EEO code, occupational category code, overtime code, bargaining unit/status codes, pay grade and pay plan) and HRIS system (mode of pay, retirement plans, comp time bank and overtime maximum) changes. **The implementation date for class plan changes must be the beginning date of a pay period.** Estimate the implementation date using a 30 day window for publishing of the Class Activity Recap.
5. Submit Class Plan Update form, proofed class description and any relevant correspondence to C and C Section for final approval.
6. When form is approved, the Class Plan Update form, class description and correspondence will be returned to the change processor for filing in “Master Book”. For class deletions, remove material from the active Master Books and file in the Deleted Master Books.
7. Send note to Paul Cook to move the revised class description from the “Class Descriptions - In Progress” folder to “Class Descriptions - Final” folder.



# CHAPTER 12

## Class Guidelines

The purpose of a classification guideline is to:

1. describe the kind of work (duties) performed in the class or class series and to distinguish those duties from all others classes or class series;
2. describe work differences between the levels (classes) within a series and to distinguish them from each other;
3. clearly communicate the above to employees, agency management and personnel officers alike.

To facilitate this purpose, a standardized electronic shell document has been developed for use in writing classification guidelines. The electronic document is available in the C & C Communications folder on the “P” drive and a blank copy appears at the end of this chapter. The developmental portion of this chapter will be addressed within the context of each individual item listed on the shell document.

### **Series Name**

When selecting a series name, use the kind of work performed in the series first in the series name. For a series that typically has kind of work modifier in its class titles (e.g., clerks, aides, counselors, etc), always list the specific kind of work first in the series name (e.g., Mail Clerk not Clerk Mail or Youth Counselor not Counselor Youth).

### **Classes In The Series**

List the class titles and codes of all classes in the series in this section. If a class has multiple codes, list them as shown below for the Correctional Officer, which has three different class codes:

<u>Class Code</u>	<u>Class Title</u>
06406	Correctional Officer
76406	Correctional Officer
86406	Correctional Officer

Also, the class codes/titles should be listed in class level order from lowest to highest.

### **Series Concept**

In this section of the guideline, you are attempting to describe the “kind of work” performed in the series and distinguish it from the kind of work performed in other class series. If applicable, you can use work related modifiers (e.g., skilled, unskilled, professional, paraprofessional, licensed, etc.) to help describe the kind of work performed. You should also include a brief description of the major duties of all the classes in the series. The following statement has been used to start the “kind of work” description:

“Employees whose positions are classified in this series perform ... work”

If a class series includes multiple kinds of work or concepts, be sure to list them separately. While there are no style limitations in writing guidelines (e.g., narratives, bullets and mathematical formulas have been used), brevity is a good watch word.

### **Exclusions**

This section of the guideline is used to exclude from the series any classes or class series where there is a concern that readers might incorrectly believe their positions should be classified. For example, you are creating a generalist clerical series that does not include the functionally specific clerical classes like, Accounting Clerks, Mail Clerks, Drivers License Clerks, etc. So you make a statement here to specifically exclude the functionally specific clerical classes/class series.

### **Class Distinctions**

In this is section of the guideline, you are attempting to describe “level of work” differences between each class in the series. Class structure and level differences should have been discussed in detail and agreed upon during the design phase of the work on the class series. If you are having difficulty describing level differences, it is a good indication the differences may be artificial. If this happens, you may want to look at structural design alternatives for the series. This is the why we recommend that guidelines be drafted and included with review material before class series structure is finalized. Following are some common examples of how job classes in a series are leveled:

- *On-The-Job Experience:* use of a trainee/learning class at the 1<sup>st</sup> level of the series and an experienced/journey class at the 2<sup>nd</sup> level. This is typically used only for highly technical or professional where the learning curve is substantial (e.g., greater than 6 months).
- *Higher Level Duties:* assignment of selected job duties that are considered to be of a higher level is done on a class level basis.
- *Difficulty/Complexity of Duties:* selected job duties performed by most or all employees in a series are sorted by difficulty/complexity (e.g., files, cases, studies,etc) and assigned on a class level basis.
- *Specialist Duties:* selected job duties, performed by most or all employees in a series, are assigned on a class basis and performed to the extent that employees become an expert on the performance of those duties.
- *Lead Work/Supervisory Duties:* lead work and supervisory duties are assigned on a class level basis.
- *Licensure:* performance of statutory or administratively licensed duties limited to.
- *Size:* primarily used for management classes with class level being determined based on the relative size of operations managed (e.g., programs, employees, budget, etc.).
- *Scope:* primarily used for management classes with class level being determined by the relative breadth of program operations (e.g., local, district and statewide).

The following traditional “job evaluation” factors may also be used to differentiate between classification levels. However, critical to their use is the writer’s ability to communicate in the guideline any level differences he or she has identified. While these factors may be helpful as an evaluation tool, they are not recommended for use, either individually or as a group, for any or all guidelines. Each situation is different and use of these factors is left to the judgement of the writer. The only thing that is of overriding importance in the construction of classification guidelines is the clarity of communications.

- *Complexity* - The extent to which the duties are standardized and judgment is used in making decisions or solving problems; also considered is the number, variety and intricacy of tasks, steps, processes or methods used in performing the work; and the difficulty and creativity involved in performing the work. It is not enough just to indicate the work is more complex. What makes it complex? How is this factor different from the other classes in the series? If this factor is referenced in the guideline, complexity must be defined for all applicable levels.
- *Supervision Received* - The nature and availability of guidelines manuals, procedures, (manuals, procedures, policies, etc.) to perform the work; the availability of the supervisor and the extent to which the supervisor outlines the methods to be followed, the results to be obtained and the frequency that work progress is checked; the freedom to act without the approval of the supervisor. How is this factor different from other classes in the series?
- *Personal Contacts* - Responsibility for handling contacts or interaction with persons not within the supervisory chain; the frequency, nature and importance of the contact and the degree to which the contact requires tact, cooperation and persuasiveness. How is this factor different from other classes in the series?
- *Impact of Errors* - The likely effect or probable consequences of errors made in the regular course of the work and the opportunity for making such errors; the potential loss incurred in terms of time, money, delays, lawsuits and goodwill. How is this factor different from other classes in the series?
- *Scope and Impact* - The effect of work products and services, both inside and outside the immediate organizational unit; the financial and administrative impact of the work on the operations, activities and future of the organization and the degree to which departmental goals, objectives and results are affected. How is this factor different from other classes in the series?
- *Supervision Exercised* - The responsibility for the supervision of employees including exercised those reporting either directly or indirectly through subordinate supervisors and the proximity of their locations; measures the degree to which the work involves selection, training, assigning and reviewing work, performance appraisal and discipline of subordinates. How is this factor different from other classes in the series?

Whatever method is used in constructing the guideline, agency management should be involved in the development phase and generally be in agreement with the final product. You may find some agency managers that do not want to be tied down to clear classification level differences in a series so they can have greater “flexibility” in classifying positions. However, in the long run, “fuzzy” guidelines cause more problems than they are worth.

### **Exceptions**

This section is a recent addition to the guideline format. It is to be used for situations where positions that do not meet the class or series guidelines have been placed in a series for a specific reason (e.g., pay grade purposes in lieu of creating a new class.) You should indicate the class title and number of the positions, the agency where they are located, the fact they do not meet the guidelines and the reason or reasons they have been placed in the series.

### **Effective Date**

Write the month and year the guideline is effective followed by the initials of the individual who developed or revised the guideline.

STATE OF IOWA ▼ DEPARTMENT OF PERSONNEL

*CLASSIFICATION GUIDELINES*

**JOB CLASSIFICATION SERIES NAME**

---

**CLASSES IN THE SERIES**

Class Title

Class Code

**SERIES CONCEPT**

**EXCLUSIONS**

**CLASS DISTINCTIONS**

Effective Date\_\_\_\_\_

# CHAPTER 13

## The Class Study

A class study is a review and evaluation of the work assigned to a group of positions in a class or class series. A classification study is the basis for setting salaries, establishing minimum qualifications, and recruiting and selecting personnel. Class studies provide the data and documentation needed to revise existing class descriptions or to establish new classes. The ultimate purpose is to ensure proper maintenance of the State's classification plan. Most studies are initiated by an agency on a Service Agreement. However, they can also be initiated by the Department of Personnel.

Since class studies require a tremendous amount of effort by agency employees, and raise the expectations of the employees under study, it is imperative that class studies are conducted only when they are warranted. When an agency proposes that a class study be conducted, the following information should be provided as part of the Service Agreement process to assist in evaluating the request.

- The reasons for requesting the study.
- The classes to be included in and/or excluded from the study.
- The name or names of individuals who will represent the agency during the class study.

A summary of all Service Agreement requests for new classes and pay grade changes are sent to the Department of Management for their review. Please see the attached flow chart of the process at the end of this chapter.

### A Typical Class Study Plan

A class study typically consists of the following elements:

- Evaluating the Need for a Study
- Defining the Scope of the Study
- Identifying the Study's Participants
- Establishing a Study Timetable
- Collecting the Data
- Organizing and Evaluating the Data
- Revising or Establishing Class Descriptions
- Determining the Pay Grade(s)
- The Approval Process
- Implementation and Follow-up

### Evaluating the Need for a Study

A class study is warranted when it becomes apparent that positions cannot easily be classified by applying the existing class descriptions and guidelines. Before initiating a class study, there should be a thorough discussion of the situation with the requesting agency management and a careful assessment of the problem. There may be cases where class studies are requested by operating agencies when classification is really not

the basis of the problem they are experiencing. The problem may be the pay assigned to the class, or the selection procedures, or some other matter.

#### Classification - Reasons for a class study

- Classes do not properly distinguish between kinds of jobs and the levels.
- No class currently exists which describes work roles being performed or proposed to be performed.
- There is an overlap with other classes in the plan.
- The series is not in line with the agency's concept of job design and series design.
- There are legislative requirements such as new legislation, current laws, implementing rules, etc. affecting class requirements.
- There are inconsistencies between agencies on the use of the same classes.

#### Pay – Not valid reasons for a class study:

- There are problems with recruitment because of salary.
- There are internal relationship problems due to inappropriate salary grade assignments.
- There are turnover problems because of salary, where employees leave State service.
- There are retention problems with competitive market rates for similarly skilled jobs.
- There are problems with lack of salary increase potential for incumbents.

A class study is not needed if the class description(s) is still applicable and classification decisions can be made readily. Changes in work volume, salary issues such as internal alignment, necessary minimum qualifications revisions, and other factors which do not affect the class guidelines are not a sufficient basis for a class study. For instance, increases in work volume may be a staffing issue, not a classification issue. However, some of these may be legitimate reasons for conducting a salary study. See Chapter 14 for more information.

#### Defining the Scope of the Study

Once a need for the study has been established, Iowa Department of Personnel representatives and management representatives from the affected agencies will define the study parameters to include the following information:

- classes or class series to be studied.
- number of positions by class and the user-agency(ies) involved.
- number of positions to be audited (identifying those classes or class series requiring a larger audit sample).

The agencies involved in the study must agree to avoid changing the duties of positions during the class study, if at all possible. This does not preclude reallocating a position in the study to a different class that is not under study.

It is imperative at this point in time to work with the Budget Analyst(s) assigned to the agency(ies) involved to determine if sufficient money is available to fund the anticipated results of the study. If there is no money available, there is normally little reason to continue the study.

### Identifying the Study's Participants

The Management Liaisons or their designees in agencies affected by the class study will be active participants throughout the study. Their roles may vary from responding to requests for information to scheduling audits, or providing their agency's position on the class study team's proposal. They will be active participants in the development of the study plan and the class descriptions and guidelines. The agency's role needs to be specified to avoid confusion, misunderstanding, or duplication of effort during the study.

### Establishing a Study Timetable

A study timetable should be set up to estimate the amount of time it will take to conduct the study. This should cover such things as the amount of time necessary for data collection, audits, travel, evaluating the data, developing the class descriptions and guidelines and implementing the study. The time frames will, of course, depend on the number of positions, classes and agencies involved.

### Collecting the Data

Once it has been determined that a class study is to be conducted, the following steps should be followed:

- Inform all agencies utilizing the position titles of the pending class study by letter if the study is initiated by the Department of Personnel.
- Request up-to-date Position Description Questionnaires, names of agency contacts and names of experts in the occupational areas. If the current PDQ is still accurate, the agency may send a copy of that with a memo indicating it is accurate.
- Organization charts showing the current structure as well as any proposed structure should be obtained.
- The incoming data should be checked off a control sheet of positions identified for study. It may be necessary to follow-up on missing or incomplete data. Data should be sorted by type and level.
- Review information which is relevant to the occupation being investigated such as Dictionary of Occupational Titles and professional literature.
- Audit major types of work, representative levels and confusing, conflicting or incomplete position records. Audits should be set up at the convenience of the agency, with adequate advance notice and cooperation and knowledge of the agency.

### Organizing and Evaluating the Data

The PDQs are reviewed, probably several times, to identify and sort the positions with like duties into groups.

If the series is a progression of classes in an occupational field, the positions may fall into an "entry-level group," a "working-level group," a "senior/lead-level group," a "first-line supervisor group," etc. The positions within each group need to be evaluated to determine the varying range of duties each group contains and whether the duties have enough commonality to be incorporated into a single job classification or whether multiple job classifications are necessary. Each group of positions must be evaluated to establish the parameters of each class in the series. The differences between each group of positions needs to be clearly identified. These differences will define the distinction between each level within the series and be incorporated into the Classification Guideline.

### Revising or Establishing Class Descriptions and Classification Guidelines

Using the more detailed information contained in the previous section of this Manual, proposals are drafted of the revised or new Class Descriptions and Classification Guidelines. The drafts of the proposal should be provided to the affected agencies and the IDOP personnel officer for review and input. Several meetings with the affected agencies and organizations are typically held to refine the proposal. Normally, agreement will be reached with the affected agencies on the content and concepts of the Class Description and Classification Guidelines at this point.

It will be necessary to complete the FLSA Check List form CFN 552-0503 for new or substantially revised classes. (See example following this section.) The purpose of this form is to determine and document if the class should or should not be covered by the provisions of the Fair Labor Standards Act (FLSA). This federal law grants premium overtime (time and one-half) and other rights to covered employees.

If your project is just to revise a class description, you will be finished after reaching agreement with the agency and upon the in-house approval of the 0084 or 0083 form (CFN 552-0084, Classification and Pay Update or CFN 552-0083, Classification Update Short Form). These forms are explained later in The Approval Process.

### Determining the Pay Grade

Once the class descriptions have been firmed up, the appropriate pay grades need to be determined. The Iowa Job Evaluation System is used to establish all pay grades. Using this system, each new or substantially revised class is rated. The point total of the rating determines the pay grade. The C&C Section will normally perform the job evaluation rating and complete the Job Evaluation Worksheet.

**Do not make any commitments to the agency(ies) regarding pay grades.** The C&C Section will coordinate the notification process to the Department of Management and Governor's Office to obtain their approval before proceeding to implement new classifications and pay grade changes.

### The Approval Process

The Department of Management and Governor's Office must approve the new class or pay grade change and the implementation method. If your study involves classes or employees that are covered by a collective bargaining contract, it is necessary to notify the union regarding an implementation date and method of implementing the pay (step to step, bring people only to the new minimum, change or no change in the pay review date). There is an in-house approval form (CFN 552-0084) Classification and Pay Update or CFN 552-0083 Classification Update Short Form (see examples following this section) that need to be completed. The forms are located in the C&C Communications folder on the "P" drive. The 0083 form is used only when changes are made in the class description or guidelines. The proposal is routed to various teams within the department for review and comment. The C&C Section principal should be kept informed of your progress on the project periodically and be in agreement with all major developments along with the course of the study and, of course, prior to finalizing anything with the agency(ies).

Along with the 0084 form, you will need to attach the FLSA Check List form CFN 552-0503 for new or substantially revised classes.



For new classes, and where the pay grade of an existing class is changed, the Job Evaluation rating worksheet must be attached to the 0084 form.

The Classification and Compensation (C&C) Section will review this information and may discuss your findings with you before signing off on the form.

After the approval is received from DOM, and an agreement is reached with our unions, Classification and Compensation will assure the update to the Human Resources Information System (HRIS), Employment Systems and the IDOP Internet page. The C&C Section will complete a Class Activity Recap (CFN 552-0165) (see example after this section) to be sent out as a notice; most recipients will receive this electronically.

### Implementation and Follow-up

Once the study has been approved and an implementation date established for the new classes, several things remain to be done. When the study results in title changes no appeal rights are granted and only a notice needs to be prepared for posting showing the title changes. Employees still retain their rights to have their position reviewed for proper classification.

If the study results in employees being placed in a number of different classes, a notice of the tentative classification of each position needs to be sent to each of the incumbents using the First Notice form (CFN 552-0087). A copy of the new class description is attached to the form. The process would then follow the appeal procedures outlined earlier in this Manual. Eventually, an M-5 will need to be processed to make the changes.

You need to be in contact with the Customer Information Services Section concerning any necessary recruitment efforts and to give any advice necessary on interpreting the minimum qualifications.

The originals or copies of the documentation used in the study and any pertinent correspondence are to be filed in the appropriate Master Book for future reference.

After all of the classification changes have been made and the old classes no longer have any incumbents, you should start the process to delete the unused classes from the system by completing an 0084 form (Classification and Pay Update). If the class is represented by a union, a notice of deletion will be prepared by the C&C Section and sent to the union. The HRIS will be updated and the material from the Master Book will be placed in the Deleted Master Book.

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# Class and Pay Grade Review Process

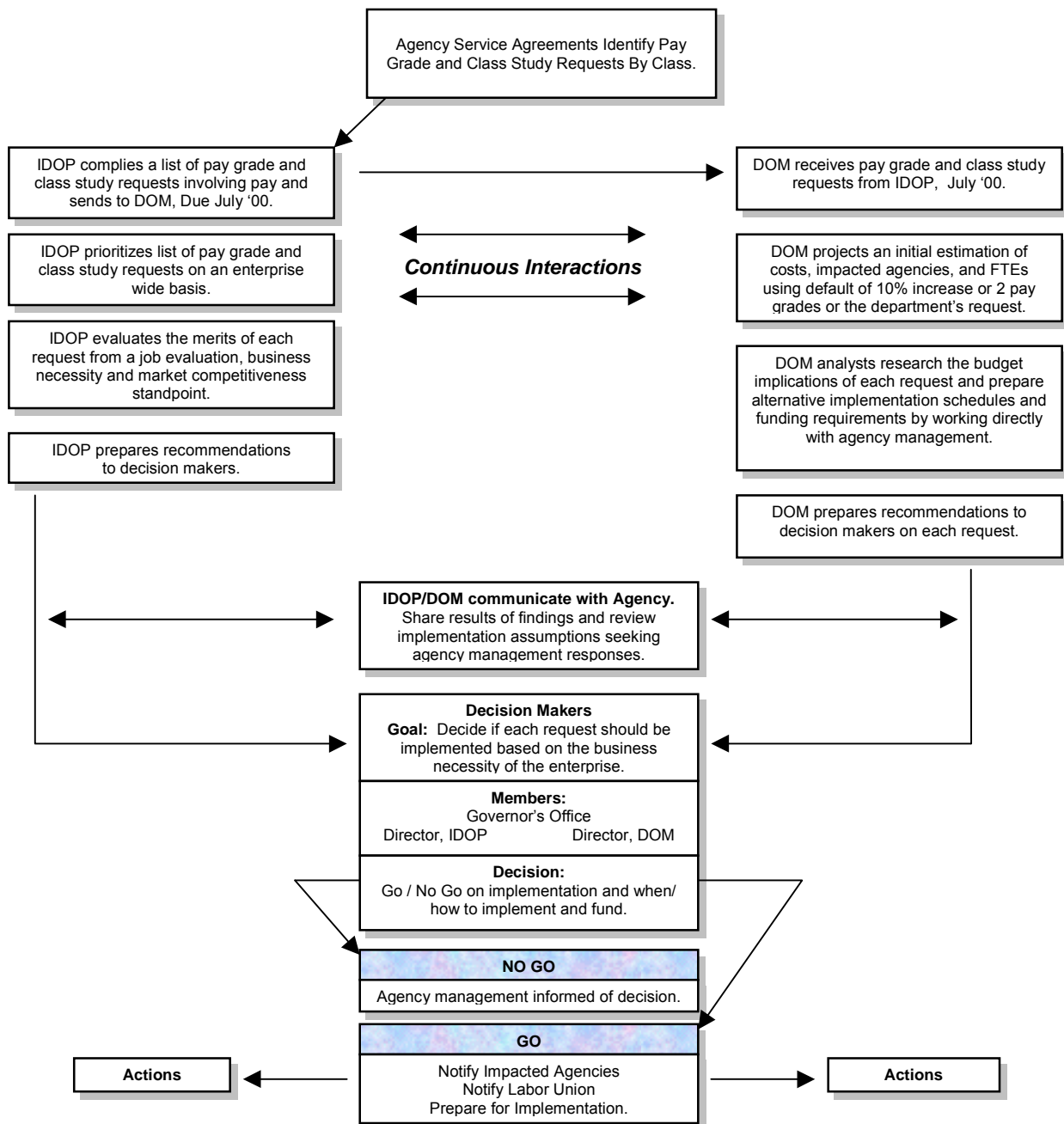
**OVERALL GOAL:** Facilitate the best decisions regarding class and compensation adjustments by providing timely and accurate information while addressing the needs of our customers.

## IDOP

**Goal:** Aid decision makers concerning all aspects of Human Resource Management including salary surveys, recruitment and retention experience, comparable worth, and labor/management relations.

## DOM

**Goal:** Aid decision makers by identifying implementation issues including costs, impact on state budget, timing of implementation, and fiscal impact on other job classes.



June 2, 2000

# FLSA CHECKLIST

**Class Code:** \_\_\_\_\_ **Title:** \_\_\_\_\_ **Agency:** \_\_\_\_\_  
**No. of Positions Reported:** \_\_\_\_\_

		YES	% *	NO	% *	Comments
ALL	Does the class have a minimum weekly pay of \$250 (\$6.25 per hour) or more?					
Executive	Do the employees fully supervise two or more other employees? (Interview, select, train, discipline, set salary and work hours, plan and distribute work, and evaluate performance.)					
	Is the primary duty (over 50%) management of the organization? (Planning work, determining techniques, full supervision or 2 or more employees, deciding on types of merchandise, materials, tools, machinery and controlling their use.)					
Administrative	Is the primary duty (over 50%) directly related to management policies or general business operations of the department? (Advisory "professional white collar" specialists for management, i.e., purchasing agent, executive assistant, personnel specialist, management analysts, research analysts, planners.)					
	Does the primary duty require the exercise of discretion and independent judgement? (The comparison and evaluation of possible alternatives and making a decision.)					
Professional	Does the primary duty (over 50%) consist of work requiring knowledge of advanced type (BA level or higher) in a field of science or learning which requires consistent exercise of discretion and judgement? (Law, medicine, accounting, nursing, engineering, physical, chemical, biological sciences, etc.)					
	Is the primary duty (over 50%) artistic work requiring invention, imagination or talent in a recognized artistic field? (Music, writing, or graphic arts requiring originality and creativity.)					
Professional/ Administrative Trainee	If the class is considered to be a professional or administrative "trainee" class, are the employees required to use judgment and discretion to do the work?					
	Are the trainees required to do <u>work considered to be non-exempt</u> (eligible for premium overtime) as part of their training? If so, note how long this would continue and the approximate percentage of time involved.					

Recommendation: Exempt from FLSA coverage ☐ Covered by FLSA provisions ☐

Reason:

-----

Personnel Management Specialist

Date

Reviewed  
CFN 552-0503 R 12/97

Date

\* Percent of positions meeting (YES) or failing to meet the (NO) standard.

## CLASSIFICATION AND PAY UPDATE

Implementation Date:

*(Normally beginning of pay period)*

Submitted By:

*(Human Resource Specialist)*

Current Title:

Current Code:

New/Revised Title:

New Code:

ADD ☐

DELETE ☐

CHANGE ☐

**RECAP SUMMARY/NOTICE OF CHANGE(S)**

### 1. CLASSIFICATION INFORMATION

**NEW CLASS TITLE**

**NEW CLASS CODE:**

**SHORT TITLE:**

*(completed by C&C Team)*

**JOB FAMILY:**

**\*EEO CATEGORY:**

**Reason for Change(s):**

**OCCUPATIONAL CODE:**

**TRAINEE/JOURNEY (Y/N)**

### 2. CONTRACT INFORMATION

**CONTRACT (Y/N):**

**BARGAINING STATUS: (N E S U)**

**Reason for Change(s):**

**\*BARGAINING UNIT**

**Reason for Change(s):**

### 3. PAY INFORMATION

**Pay Grade:**

**Pay Plan:**

**\*Mode Of Pay:**

**Reason For Change(s):**

**\*Overtime Rate:**

**\*Comptime Rate:**

**\*Overtime Maximum Hours:**

**Reason for Change:**

**\*Holiday Overtime Rate:**

**\*Holiday Comptime Rate:**

**\*Comptime Bank Maximum Hours:**

**Per Diem Meals: (Y/N)**

**6 Mo. Cleaning Limit: (Y/N)**

**Eligible for Advanced Appointment Rate: (Y/N)**

**Reason for Change:**

**Per Diem Cleaning: (Y/N)**

**Med Passer: (Y/N)**

**\*Retirement Plan:**

**Reason for Change:**

#### **4. CLASS DESCRIPTION INFORMATION**

##### **A. DEFINITION**

Reason for Change:

##### **B. WORK EXAMPLES**

Reason for Change:

##### **C. COMPETENCIES REQUIRED**

Reason for Change:

##### **D. EDUCATION, EXPERIENCE AND SPECIAL REQUIREMENTS**

Reason for Change:

##### **E. SELECTIVE CERTIFICATION**

Reason for Change:

##### **F. SPECIAL REQUIREMENTS**

Reason for Change:

\*\*\*\*\*

#### **NOTIFICATIONS/APPROVALS:**

\_\_\_\_\_  
Classification and Compensation (Items 1-4)

\_\_\_\_\_  
Labor Relations (Items 1-3)

\_\_\_\_\_  
Customer Information Services (Items 1-4)

\_\_\_\_\_  
Selection (Items 1-4)

**LAST PERSON RETURN TO CLASSIFICATION AND COMPENSATION TEAM**

CFN 52-0084 R 11/98

## Classification Update Short Form

**Implementation Date:**

*(Normally beginning of pay period)*

**Submitted By:**

*(Human Resource Specialist)*

**Current Title:**

**Current Code:**

☐ **Change**

☐ **Delete**

*(Noncontract only)*

### **RECAP SUMMARY**

### **CLASS DESCRIPTION**

#### DEFINITION

Reason for Change:

#### WORK EXAMPLES

Reason for Change:

#### COMPETENCIES REQUIRED

Reason for Change:

#### EDUCATION, EXPERIENCE AND SPECIAL REQUIREMENTS

Reason for Change:

#### SELECTIVE CERTIFICATION

Reason for Change:

#### SPECIAL REQUIREMENTS

Reason for Change:

### **CLASS GUIDELINES**

☐ **CHANGE**

☐ **DELETE**

☐ **NEW**

Reason for Change:

\*\*\*\*\*

### **APPROVALS:**

\_\_\_\_\_  
Classification and Compensation (Items 1-4)

\_\_\_\_\_  
Labor Relations (Items 1-3)

\_\_\_\_\_  
Customer Information Services (Items 1-4)

\_\_\_\_\_  
Selection (Items 1-4)

### **LAST PERSON RETURN TO CLASSIFICATION AND COMPENSATION SECTION**

CFN 552-0083 7/99

# STATE OF IOWA JOB EVALUATION WORKSHEET

Date: \_\_\_\_\_

[illegible]

Date 3/16/01 Number 01-11

## Iowa Department of Personnel Class Activity Recap

Class Code	Job Classification Title	Action	EEO Cate.	OC Code	O.T. Elig.	Unit/ Stat.	Pay Plan	Pay Grade
EFFECTIVE MARCH 16, 2001								
00655	Iowa Finance Authority General Counsel	New Class.	2	178	0	004E	000	41
00660	Field Safety Technician	Delete Class.						
00925	Lottery Communications Coordinator	Revised Class Description.						
04385	Maintenance Operations Assistant	Class Eligible for Premium Overtime.			2			
14510	Agriculture Program Supervisor	Add Selective Code 048 agriculture products inspection.						
14703	Assistant Director of Engineering	Delete Class.						
30217	Administrative Supervisor	Delete Class.						
50768	Training Officer 3	Delete Class Code.						
90635	Public Defender 3	Delete Class Code.						
90743	Statistical Research Analyst 1	Delete Class Code.						

**NOTE:** You will find an explanation of the above codes in the classification and pay plan.

All classification descriptions are available on our web site at: <http://www.state.ia.us/idop/ClassAndPayJobD.html>

CFN 552-0165 R 10/00



# CHAPTER 14

## The Pay Grade Study

There are three ways in which the pay grade of a job class can be changed, and they are as follows:

1. Job evaluation
2. Documented market pay differences
3. Bi-annual collective bargaining negotiations

Pay grade studies are done as part of the Service Agreement process only when a business necessity has been documented. The business necessity is determined through the evaluation of the Pay Grade Study Questionnaire, CFN 552-0671, completed by the agency (see example following this chapter). This questionnaire can be found in the C&C Communications folder on the “P” drive.

A summary of all Service Agreement requests for new classes and pay grade changes are sent to the Department of Management for their review. Please see the attached flow chart of the process at the end of this chapter.

The primary reasons for doing a pay study would include documentation that:

- There are problems with recruitment because of salary.
- There are turnover problems because of salary, where employees leave State service.
- There are retention problems that may be caused by non-competitive market rates for similar jobs.

Once IDOP agrees that there is a legitimate business necessity to study the pay, a survey will be conducted. The C&C Section will construct, analyze and report on the findings of the survey. The agency will be sent a copy of the report for comment. When finalized, the Department of Management and the Governor’s Office will be sent a copy of the report.

Most surveys will be sent to the six contiguous states. This information will be supplemented by salary data from purchased surveys such as the *Des Moines Compensation and Benefits Survey* and the *Iowa Hospital Association Survey* where class matches can be made.

The Department of Management and the Governor’s Office must approve the pay grade change and the implementation method. The C&C Section will notify the union and work with the Labor Relations Team and Personnel Officer regarding pay grade change once the above is resolved.

The Classification and Pay Update form (CFN 552-0084) is then completed and sent to the various teams within the Department for review, comment and approval. This follows the same process as covered in Chapter 12. The C&C Section will then complete a Class Activity Recap (CFN 552-0165) that will be used as a notice to the agencies and to update the Human Resources Information System (HRIS), Employment Systems and the IDOP Internet page.

The C&C Section will work with the Information Technology Department and Payroll Section to assure a smooth implementation of the change. The Personnel Assistants of the affected departments will be notified by the C&C Section of the manner in which the pay changes are to be implemented.

After the implementation, the C&C Section will update the Master Book by filing the Classification and Pay Update form and updating the Job Evaluation Rating records.

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## PAY GRADE STUDY QUESTIONNAIRE

**Department/Institution:** \_\_\_\_\_

**Contact Person:** \_\_\_\_\_ **Phone No.:** \_\_\_\_\_

Please list below the title, code, geographic location and selective certification codes (if applicable) for those job classes you are requesting a pay grade study. Then respond to the following questions and return the completed questionnaire to your personnel officer. Ignore questions that do not apply to your situation.

<b>Class Title</b>	<b>Class Code</b>	<b>Geographic Location(s)</b>	<b>"Selective" Codes (If Applicable)</b>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

1. List the sources and results of your recruitment activities (ads in newspapers or journals, on-site recruitment events) for the job class(es) in the last twelve months.

*SOURCE*

*RESULTS*

_____	_____
_____	_____
_____	_____
_____	_____

2. Were your recruitment activities reviewed/coordinated through IDOP? \_\_Yes \_\_No

3. Were any of the classes underutilized for affirmative action purposes? \_\_Yes \_\_No  
If so, did you conduct targeted recruitment? \_\_Yes \_\_No If yes, list sources/results.

*SOURCE*

*RESULTS*

_____	_____
_____	_____
_____	_____

CFN 552-0671

4. Record attempts to fill the job class(es) from IDOP lists in the last twelve months:

<i>DATE</i>	<i>NUMBER ON LIST</i>	<i>NUMBER INTERVIEWED</i>	<i>NUMBER DECLINED</i>	<i>NUMBER HIRED</i>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

A. If all applicants were not interviewed, list the specific reasons why they were not.

B. If any applicants from lists declined an interview, list the specific reasons why.

C. If any applicants from lists declined a job offer, list the specific reasons why.

5. If you have not had a vacancies in the job class(es) during the last twelve months, list the reasons why pay may interfere with future recruitment efforts?
6. If employee retention is a problem, list the number of employees in the job class(es) that left during the last year and the reasons given for leaving.

<i>CLASS TITLE</i>	<i>NO. EEs LEAVING</i>	<i>REASONS FOR LEAVING</i>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

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7. Have you used any special pay actions (e.g., advanced appointment rates, recruitment/retention bonuses, extraordinary duty pay, or referral bonus) to attract or retain employees in the job class(es) in the last twelve months? ☐ Yes ☐ No. If yes, record below the special pay action and describe your experience with it?
  
8. Have major changes occurred in the job class(es)? ☐ Yes ☐ No. If yes, briefly describe below.
  
9. What pay grade do you believe is proper for the job class(es) and Why?
  
10. What would be the cost to your agency to implement the pay grade change for the job class(es) proposed in question number 9? \$ \_\_\_\_\_. Is there money in your budget to do so? ☐ Yes ☐ No. Has the proposed pay grade change been discussed this with the Department of Management? ☐ Yes ☐ No.
  
11. Would other classes in your agency be impacted if the pay grade for the class(es) was changed? ☐ Yes ☐ No. If so, list below the class(es) effected and any recommendations you would have for changing their pay grades.

<i>CLASS TITLE</i>	<i>PAY GRADE RECOMMENDED</i>
_____	_____
_____	_____
_____	_____
_____	_____

**NOTE:** Attach additional sheets if necessary

SOURCE: RDP Class and Comp Section  
January, 2001

**PLEASE RETURN TO YOUR PERSONNEL OFFICER**

CFN 552-0671

# Class and Pay Grade Review Process

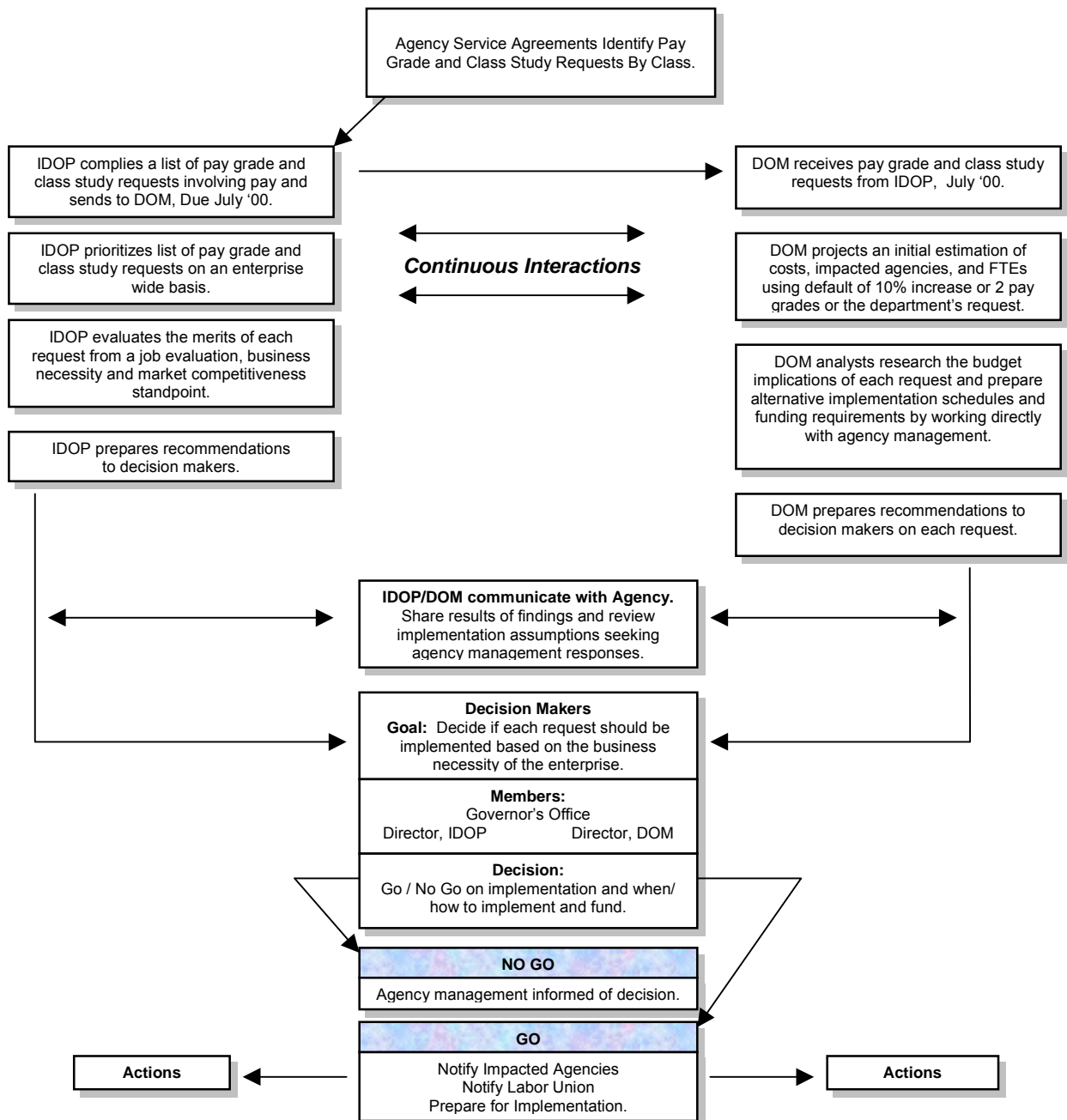
**OVERALL GOAL:** Facilitate the best decisions regarding class and compensation adjustments by providing timely and accurate information while addressing the needs of our customers.

## IDOP

**Goal:** Aid decision makers concerning all aspects of Human Resource Management including salary surveys, recruitment and retention experience, comparable worth, and labor/management relations.

## DOM

**Goal:** Aid decision makers by identifying implementation issues including costs, impact on state budget, timing of implementation, and fiscal impact on other job classes.



June 2, 2000